



**MOPAN
COMMON
APPROACH**

**United Nations
Population Fund
(UNFPA) 2010**

January 2011

Preface

This report on UNFPA was prepared for the Multilateral Organisation Performance Assessment Network (MOPAN), a network of 16 donor countries with a common interest in assessing the organisational effectiveness of multilateral organisations.

For more information on MOPAN and the Common Approach, including the results of previous assessments, please visit the MOPAN website (www.mopanonline.org).

Acknowledgements

We thank all participants in the MOPAN 2010 Common Approach assessment of UNFPA. The UNFPA's senior management and their staff made valuable contributions throughout the assessment and document review processes and provided lists of their direct partners in each country where the survey took place. Survey respondents, including UNFPA direct partners and MOPAN donors, contributed useful insights and time to respond to the survey. The MOPAN Institutional Leads liaised with the multilateral institutions throughout the assessment and reporting process. The MOPAN Country Leads in each country oversaw the process and ensured the success the survey. Consultants in each country provided vital in-country support by following up with direct partners to ensure adequate survey response rates.

Institutional and Country Leads – 2010

MOPAN Member Institutional Leads	Multilateral organisation
Australia and United Kingdom	Asian Development Bank (ADB)
Canada and Denmark	International Fund for Agricultural Development (IFAD)
Switzerland and Ireland	United Nations Population Fund (UNFPA)
Canada and Switzerland	World Health Organization (WHO)

MOPAN Member Country Leads	Countries
United Kingdom and Australia	Afghanistan
France and Germany	Benin
Spain and France	Colombia
Canada and Australia	Indonesia
Norway and Sweden	Kenya
Spain and Austria	Nicaragua
Netherlands and Sweden	Rwanda
Netherlands and France	Sri Lanka
Finland and Republic of Korea	Viet Nam
Denmark and Ireland	Zambia

Roles of Authors and the MOPAN Secretariat

The MOPAN Secretariat, led by Finland in 2010, worked in close cooperation with the MOPAN Technical Working Group to launch and manage the survey. MOPAN developed the Key Performance and Micro-indicators, designed the survey methodology, coordinated the development of lists of survey respondents, and approved the final survey questionnaire. MOPAN also directed the design of the approach to document review. MOPAN oversaw the design, structure, tone, and content of the reports.

Universalis and Epinion developed the survey instrument and carried out the survey and analysis. Universalis carried out the document review and wrote the reports.

Epinion is a leading consulting firm in Denmark that analyses and evaluates data to support decision making. It conducts specially designed studies for public and private organisations based on data collected among an organisation's employees, members, customers, partners, and other sources. Epinion has 75 employees and 200 interviewers. Website: www.epinion.dk

Universalis Management Group is a Canadian consulting firm established in 1980 that specialises in evaluation and monitoring for international development. Universalis has made significant contributions to identifying best practices and developing tools in the fields of organisational assessment; planning, monitoring, and evaluation; results-based management; and capacity building. Website: www.universalis.com

Acronyms

AAA	Accra Agenda for Action
AAC	Audit Advisory Committee
ADB	Asian Development Bank
AWP	Annual Work Plan
BSB	Biennial Support Budget
CARDS	Comprehensive Assessment Recommendations Database Systems
COMPAS	Common Performance Assessment System
CPAP	Country Programme Action Plan
CPD	Country Programme Document
DAO	Delivering As One
DOS	Division of Oversight Services
DRF	Development Results Framework
ECOSOC	United Nations Economic and Social Council
ERM	Enterprise Risk Management
ExCom	Executive Committee
HACT	Harmonised Approach to Cash Transfers
HIV/AIDS	Human Immunodeficiency Virus/Acquired Immune Deficiency Syndrome
HQ	Headquarters
ICPD	International Conference on Population and Development
IFAD	International Fund for Agricultural Development
KPI	Key Performance Indicator
MDB	Multilateral Development Bank
MDGs	Millennium Development Goals
MI	Micro Indicator
MOPAN	Multilateral Organisation Performance Assessment Network
MRF	Management Results Framework
NGO	Non-governmental organisation
OECD	Organisation for Economic Cooperation and Development
PAD	Performance Appraisal Development
PBA	Program-based approach
PRSP	Poverty Reduction Strategy Paper
RBM	Results Based Management
SWAP	Sector Wide Approach
UN	United Nations

Acronyms

UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDG	United Nations Development Group
UNDP	United Nations Development Program
UNEG	United Nations Evaluation Group
UNFPA	United Nations Population Fund
UNICEF	United Nations Children's Fund
WHO	World Health Organization

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Executive Summary

Background

The MOPAN Common Approach 2010 assessed the organisational effectiveness of multilateral organisations based on the perceptions of MOPAN members and partners/clients of these organisations and on a review of documentation. The Common Approach examines the performance of organisations on key performance indicators in four areas (or quadrants) – strategic management, operational management, relationship management and knowledge management.

The United Nations Population Fund (UNFPA) was assessed at an institutional level and across ten developing countries identified by MOPAN for the 2010 assessment: Afghanistan, Benin, Colombia, Indonesia, Kenya, Nicaragua, Rwanda, Sri Lanka, Viet Nam, and Zambia. These countries comprise only a small proportion of the total number of countries where the UNFPA carries out its programming.

A survey was designed for three groups of respondents: MOPAN members in country offices and at headquarters, as well as UNFPA direct partners.¹ Responses were collected through an online survey and in face-to-face interviews. A total of 238 respondents participated in the survey on UNFPA.

A document review was carried out using corporate documents and country programming documents from five sampled countries: Afghanistan, Indonesia, Kenya, Nicaragua, and Zambia.

The complete methodology for the Common Approach 2010 is presented in Volume II, Appendix I.

Main Findings

Over the past several years, UNFPA has been implementing a number of initiatives designed to improve its organisational effectiveness, including an organisation-wide restructuring process to become closer to the field; increased efforts to improve its results-based management practices; steps to increase its capacity in monitoring and evaluation; and actions to improve in other aspects of the Fund's transparency and accountability. The results of this assessment suggest that UNFPA is making progress in many of these areas.

Strategic Management

UNFPA was seen to perform reasonably well on aspects of *strategic management*. Survey respondents viewed UNFPA's key strengths to be its organisational strategy based on a clear mandate, its senior-level leadership on results management, and its mainstreaming of cross-cutting priorities that are integral to its mandate: gender equality, human rights-based approaches, and HIV/AIDS. Its focus on results in country programs was also recognised as a strong area of performance by survey respondents and confirmed through the review of a sample of country program documents.

¹ UNFPA's direct partners primarily include representatives of NGOs and civil society organisations, government officials from line ministries, and other representatives of government. About 68 percent of direct partners indicate that they are senior level professionals. For more information, please see respondent profile in Volume II, Appendix III).

The review of documents identified some limitations in UNFPA's organisational results frameworks (such as the need to sharpen the distinction between outputs and outcomes, and strengthen indicators), which will likely be addressed during the mid-term review of the Strategic Plan 2008-2013. UNFPA strategic documents also reflected a less consistent integration of environment and good governance as cross-cutting themes.

Operational Management

In the area of *operational management*, UNFPA stands out for its practices in financial accountability and delegation of decision making.

UNFPA received notably strong ratings on indicators related to internal and financial audit. In risk management (the only financial accountability area in which it received weaker ratings); UNFPA is engaged in the development of an Enterprise Risk Management (ERM) system, which should help to strengthen its performance in this area.

Survey respondents and the document review gave UNFPA strong ratings on indicators that relate to the delegation of decision making. The ratings suggest that an adequate framework is in place and that respondents at the country level perceive that country offices have the authority to manage project tasks and take certain decisions about areas of cooperation. This reflects positively on UNFPA's efforts to restructure and decentralise its support to country programming.

The document review also provided a strong rating to UNFPA for publishing its criteria for allocating core budget resources. Survey responses suggested that its allocations adequately follow those criteria.

The review of documents identified limitations in UNFPA's use of performance information to make and report on changes to current policies and plan new initiatives, both at the country and organisation-wide levels. However, UNFPA management has already taken steps in 2010 to enhance evidence-based programming, such as requiring that country program evaluations take place earlier in the programming cycle so that they can inform subsequent country programs. Although survey respondents provided a generally positive assessment of UNFPA's use of targets to measure project/program implementation, the document review found that Country Programme Action Plans (CPAPs) were inconsistent in their use of targets to help manage progress towards expected results.

Relationship Management

According to survey respondents, UNFPA's strengths in *relationship management* lie in its support for national plans and strategies and its contributions to policy dialogue. In addition, respondents gave UNFPA strong ratings for harmonising arrangements and procedures with other programming partners (participation in joint missions, providing technical cooperation through coordinated programs, and supporting government-led program-based approaches).

Perception data from MOPAN donors in-country suggest that there could be some room for improvement. This respondent group gave ratings of inadequate for the length of time required by UNFPA procedures, its ability to respond quickly to changing circumstances, and its flexibility in implementing projects and programs. They also rated UNFPA as inadequate in its use of partner countries' financial and non-financial systems and the use of project implementation units. However, these perceptions are somewhat surprising in light of direct partners' ratings of strong on these indicators and UNFPA's documented use of national execution procedures for audit at the country level.

In the area of relationship management, the MOPAN Common Approach draws on the results of the 2008 Survey on Monitoring the Paris Declaration. Due to the lack of specific data on UNFPA's performance on these indicators, the assessment was based exclusively on survey data.

Knowledge Management

In the area of *knowledge management*, UNFPA was rated as adequate overall on indicators related to monitoring and evaluation although the findings note some challenges with regard to evaluation coverage and quality.

The ratings provide a mixed picture of UNFPA's presentation of performance information. MOPAN members at headquarters gave ratings of adequate for the extent to which UNFPA reports on results and its Paris Declaration commitments. However, the review of documents found some shortcomings in these areas. While UNFPA reports against its Strategy 2008-2013, the reporting on outcomes is still a challenge due to limitations in its corporate results frameworks and indicators. UNFPA has presented information on progress towards its Paris Declaration commitments through the United Nations Development Group (UNDG), however, it does not prepare an organisational report that draws on the Paris Declaration indicators and targets, which are of interest to MOPAN. Finally, the review of documents also identified gaps in the extent to which UNFPA reports on lessons from its programming experience based on performance information.

Overview of the Ratings for UNFPA

The following chart provides an overview of UNFPA's ratings on the key performance indicators assessed by the Common Approach in 2010. UNFPA received scores of adequate or strong on all of the key performance indicators assessed by survey respondents, based on the mean scores of all respondents. The review of documents provided a wider range of results, ranging from very strong to weak.

Among survey respondents, direct partners and donors at headquarters consistently provided more positive ratings than donors in country offices. There was, however, a consistently high level of 'don't know' responses from donors in country offices, which may be related to their level of familiarity with UNFPA .

UNFPA's performance received generally high ratings by survey respondents and/or the document review for:

- Corporate Focus on Results: UNFPA's clear and important mandate is considered one of its greatest strengths, according to ratings from survey respondents and the review of documents.
- Country Focus on Results: UNFPA was rated as strong for ensuring a focus on results in its Country Programme Documents.
- Focus on Thematic Priorities: UNFPA received high ratings for mainstreaming gender equality, human rights-based approaches, and HIV/AIDS into its work.
- Financial Accountability: UNFPA excelled in performing external and internal financial audits across the organisation and in ensuring management follow-up to irregularities.
- Delegating Decision Making: UNFPA was rated as strong on indicators that relate to decisions that can be made at the country level.
- Supporting National Plans and Contributing to Policy Dialogue: Survey respondents perceived UNFPA to strongly support national plans and strategies by developing proposals with the national government or direct partners. UNFPA was also seen to provide valued inputs to policy dialogue and respect partner views in the dialogue process.
- Harmonising Procedures: UNFPA was perceived to perform strongly in its participation in joint missions, disbursing of technical cooperation through coordinated programs, and support for government-led program-based approaches.

The assessment also signalled some potential areas for improvement, where findings indicate a less than adequate performance for UNFPA. These areas include:

- Corporate Focus on Results and Presenting Performance Information: The document review noted limitations in UNFPA's results frameworks, such as the definition of outputs and outcomes and the lack of clarity in the results chain, and the effects of these limitations on its reporting on results.
- Adjusting procedures: Among survey respondents, in-country donors rated UNFPA as inadequate on the questions related to UNFPA procedures.
- Use of country systems: Donors in-country provided ratings of inadequate for UNFPA's use of partner countries' financial (audit, procurement, and financial reporting) and non-financial systems, as well as its use of project implementation units.
- Use of performance information and Performance Oriented Programming: The findings suggest that some attention should be paid to the use of performance information in reporting on changes in policy to the Executive Board and in supporting decision making about country programming. Similarly, country level programming documents could make more consistent use of targets to help measure progress in implementation.
- Disseminating Lessons Learned: There is room to improve reporting on lessons learned based on performance information.

Most of the low ratings that stemmed from the review of documents were in areas that UNFPA management has recognised and already begun to address, and in which it will likely make further improvements as a result of the mid-term review of its 2008-2013 Strategic Plan.

	Survey Respondents	Document Review
Quadrant I: STRATEGIC MANAGEMENT		
KPI I-1 Providing direction for results	4.48	4.00
KPI I-2 Corporate focus on results	4.44	3.00
KPI I-3 Focus on thematic priorities	4.69	4.00
KPI I-4 Country focus on results	4.71	5.00
Quadrant II: OPERATIONAL MANAGEMENT		
KPI II-1 Aid allocation decisions	4.30	6.00
KPI II-2 Linking aid management to performance	3.61	NA
KPI II-3 Financial accountability	4.57	4.00
KPI II-4 Using performance information	4.34	3.00
KPI II-5 Managing human resources	4.16	4.00
KPI II-6 Performance oriented programming	4.71	3.00
KPI II-7 Delegating decision making	4.61	5.00
Quadrant III: RELATIONSHIP MANAGEMENT		
KPI III-1 Supporting national plans	4.54	NA
KPI III-2 Adjusting procedures	4.05	NA
KPI III-3 Using country systems	4.28	NA
KPI III-4 Contributing to policy dialogue	4.79	NA
KPI III-5 Harmonising procedures	4.54	NA
Quadrant IV: KNOWLEDGE MANAGEMENT		
KPI IV-1 Monitoring external results	4.13	4.00
KPI IV-2 Presenting performance information	4.20	3.00
KPI IV-3 Disseminating lessons learned	4.16	2.00

Legend	
Strong or above	4.50-6.00
Adequate	3.50-4.49
Inadequate or below	1.00-3.49
Not assessed in the document review	NA

1. Introduction

1.1 Background

The Multilateral Organisation Performance Assessment Network (MOPAN) is a network of 16 donor countries² committed to improving development effectiveness and with a common interest in assessing the effectiveness of the multilateral organisations they fund.

Most multilateral and bilateral aid organisations are working diligently to develop frameworks and systems that will allow them to generate data on their contributions to the results achieved by developing countries. This is a complex undertaking and a single method or approach does not exist to help the international development community understand or assess organisational contributions to development effectiveness.

In this context, MOPAN developed the Common Approach to assess the organisational effectiveness of multilateral organisations. MOPAN defines organisational effectiveness as the extent to which a multilateral organisation is organised to contribute to development results in the countries where it operates.

The MOPAN Common Approach was first implemented in 2009 as the successor to the Annual MOPAN Survey, conducted since 2003. The Common Approach is broader and deeper than the previous surveys, which were based on the views of donors only. In 2009, the Common Approach incorporated the views of direct partners or clients of multilateral organisations in-country, and of MOPAN members at both headquarters and country level.³ In 2010, the Common Approach also incorporates a review of documents published by the organisations assessed or by external sources.⁴

The MOPAN Common Approach is intended to generate relevant and credible information to assist MOPAN members in meeting domestic accountability requirements and to support dialogue between MOPAN members, multilateral organisations, and their direct clients/partners that focuses on improving organisational learning and effectiveness over time. The Common Approach complements other ongoing assessment processes such as the bi-annual Survey on Monitoring the Paris Declaration and the annual reports of the Common Performance Assessment System (COMPAS) published by the multilateral development banks (MDBs).

² MOPAN members in 2010: Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Ireland, the Netherlands, Norway, Republic of Korea, Spain, Sweden, Switzerland, and the United Kingdom.

³ The terms “donors” and “MOPAN members” are used interchangeably in this document and refer only to the respondents in this assessment.

⁴ For more information on MOPAN and the Common Approach, please visit the MOPAN website (www.mopanonline.org)

1.2 Methodology – Common Approach 2010

Overview

In 2010, the MOPAN Common Approach assessed the organisational effectiveness of four multilateral organisations: the Asian Development Bank (ADB), the International Fund for Agricultural Development (IFAD), the United Nations Population Fund (UNFPA), and the World Health Organization (WHO). The assessment was carried out at an institutional level and across ten developing countries: Afghanistan, Benin, Colombia, Indonesia, Kenya, Nicaragua, Rwanda, Sri Lanka, Viet Nam, and Zambia.⁵

The full methodology for the Common Approach in 2010 is presented in Volume II, Appendix I. The following is a summary of the methodology. It is important to note that the methodology for the Common Approach changed significantly in 2010, primarily due to the introduction of the document review component. Consequently, comparisons of the results of the Common Approach 2010 with those from previous years should be done with caution.

Using a survey of stakeholder perceptions and a review of documents published by the organisations assessed and other sources, the MOPAN Common Approach examines organisational systems, practices, and behaviours that MOPAN believes are important for aid effectiveness and that are likely to contribute to results at the country level.⁶ It is structured around four areas (or quadrants) of performance – strategic management, operational management, relationship management, and knowledge management.

Key Performance Indicators and Micro-indicators – Within each performance area, organisational effectiveness is described using key performance indicators (KPIs) that are measured in a series of micro-indicators (MIs). In 2010, the Common Approach used 19 KPIs and between 68 and 70 MIs for each organisation.⁷ The full list of MIs assessed for UNFPA in 2010 is provided in Volume II, Appendix V (KPI and MI Data by Quadrant).

Survey

The MOPAN Common Approach 2010 gathered stakeholder perception data through a survey of MOPAN members and direct partners or clients of the multilateral organisations under review. MOPAN member respondents were identified by MOPAN member countries, and direct partners/clients were identified by the relevant multilateral organisation. The surveys were customised for each multilateral organisation and could be completed online or offline (paper, email, or interview). The survey for UNFPA is presented in Volume II, Appendix II.

Ratings

Survey respondents were presented with statements describing an organisational practice, system, or behaviour and asked to rate the performance of the organisation on a scale of 1 to 6 as shown below.

⁵ These countries were selected for the 2010 assessment based on a set of criteria, such as the presence of MOPAN members, which are described in Volume II, Appendix I.

⁶ Whether or not a multilateral organisation contributes to the achievement of development results will also depend on how it is addressing development issues, the instruments it uses, and the scale of its interventions in the country contexts in which it operates.

⁷ Variations are due to the customisation of the survey for each multilateral organisation.

Figure 1.1 Band Ranges and Descriptions

Band	Range of the mean scores	Rating	Definitions
1	1 to 1.49	Very Weak	The multilateral organisation does not have this system in place and this is a source of concern
2	1.50 to 2.49	Weak	The multilateral organisation has this system but there are important deficiencies.
3	2.50 to 3.49	Inadequate	The multilateral organisation's system in this area has deficiencies that make it less than acceptable.
4	3.50 to 4.49	Adequate	The multilateral organisation's system is acceptable in this area.
5	4.50 to 5.49	Strong	The multilateral organisation's system is more than acceptable yet without being "best practice" in this area.
6	5.50 to 6.00	Very Strong	The multilateral organisation's system is "best practice" in this area.

Respondents

MOPAN set quotas (targets) for the percentage of respondents considered satisfactory (out of all people asked to complete the survey): 50 percent response rate among direct clients/partners of multilateral organisations in each survey country, and 75 percent among MOPAN members in country offices and at headquarters. (The quotas are further explained in Volume II, Appendix I.) UNFPA survey results were based on the opinions of 238 respondents.

Figure 1.2 Number of Respondents and Quotas for UNFPA by Country and Respondent Group

Country	Country-based Donor Respondents (quota)	Direct Partner Respondents (quota)	Headquarter-based Donor Respondents (quota)	Total Respondents
Afghanistan	3 (6)	8 (9)		11 (15)
Benin	7 (10)	20 (10)		27 (20)
Colombia	4 (7)	11 (10)		15 (17)
Indonesia	3 (5)	12 (10)		15 (15)
Kenya	9 (12)	17 (11)		26 (23)
Nicaragua	10 (11)	18 (10)		28 (21)
Rwanda	6 (5)	9 (10)		15 (15)
Sri Lanka	4 (7)	16 (10)		20 (17)
Viet Nam	10 (11)	17 (10)		27 (21)
Zambia	6 (7)	11 (12)		17 (19)
Headquarters			37 (45)	37 (45)
Total	62 (81)	139 (102)	37 (45)	238 (228)

Data Analysis

Survey data analysis included calculations of standard deviation, frequency, differences across countries and respondent groups don't know responses, and content analysis of open-ended questions. A weighting scheme was applied to ensure that no single respondent group or survey country was over-represented in the analysis and that there was equal representation of MOPAN members and direct partners in the country-level analysis of the multilateral organisation. Survey data analysis is described fully in Volume II, Appendix I.

Document Review

The document review considered several types of documents: multilateral organisation documents (including Executive Board documents); organisational reviews or assessments (external or internal); external assessments such as the Organisation for Economic Cooperation and Development (OECD) Survey on Monitoring the Paris Declaration, the Common Performance Assessment (COMPAS) report, and previous MOPAN surveys. To ensure consistency and focus in the sampling process, the selection and collection of documents followed overall principles and specific criteria (see Volume II, Appendix I). For most micro-indicators, five criteria were established which, taken together, were considered to represent the best practice in that topic area. The rating on any micro-indicator depends on the number of criteria that were considered to be met by the organisation.

The document review used the same list of micro-indicators as the survey, but not all micro-indicators were identified for document review and some questions were worded differently in the survey and the document review. In the charts presented in this report, document review ratings and survey ratings use the same rating scale but are shown separately on each chart to show convergence or divergence between the two sets of results.

Limitations

MOPAN acknowledges that the Common Approach is being developed experientially and that as a result there are still limitations to the methodology. MOPAN will continue to make improvements in the methodology based on the experience in each year of implementation. Please see Volume II, Appendix I for an overview of general strengths and limitations of the Common Approach. The following are some of the key limitations in the assessment of UNFPA:

- The sample of survey respondents was limited, particularly in some countries where MOPAN fell short of its target response rate, particularly with regard to MOPAN members in country offices.
- The countries surveyed in the 2010 assessment, which were selected based on established MOPAN criteria,⁸ comprise only a small proportion of UNFPA's programming.
- The selection of countries also determined the universe of country programming documents reviewed. From this universe, a sample of five countries, representing different geographic regions, was selected.⁹ As the review of documents was based on the documents provided by UNFPA for this five-country sample, it may not reflect the approach used in all UNFPA country offices during the period of the current Strategic Plan (2008-2013).
- The Common Approach is based on a perception survey and document review; it does not include interviews, focus groups, and other data collection methods that can help to analyse the current state of results-oriented behaviours, systems, and procedures in the organisation. It produces numerical scores or ratings that appear to have a high degree of precision, yet can only provide indications of how an organisation is doing and a basis for discussion among MOPAN members, the multilateral organisation, and the organisation's direct partners/clients. In the document review component, which also provides a rating for the organisation, low ratings may be due to the lack of appropriate documents available in relation to the assessment criteria. The criteria for the document review are presented in Volume II, Appendix VI.

⁸ MOPAN criteria for country selection included: presence and availability of MOPAN members, no recent inclusion in the survey, and the need for geographical spread with a bias toward countries in Asia given that the Asian Development Bank (ADB) was assessed in 2010.

⁹ The sampled countries for document review were Afghanistan, Indonesia, Kenya, Nicaragua, and Zambia.

2. Background on UNFPA

This section provides a brief overview of the United Nations Population Fund and its mandate and areas of work. In addition, it summarises the results of previous MOPAN surveys on the United Nations Population Fund. This information is intended to provide background and context for the MOPAN Common Approach in 2010.

Information about UNFPA

Established in 1969, the United Nations Population Fund (UNFPA), is the lead agency for advancing the Program of Action of the International Conference on Population and Development (ICPD).¹⁰ It receives overall policy guidance from the General Assembly and Economic and Social Council and reports to the UNDP/UNFPA Executive Board on administrative, financial, and program matters. It is a member of the United Nations Development Group (UNDG) and a signatory of the Paris Declaration on Aid Effectiveness.¹¹ UNFPA worked in 155 countries, areas and territories in 2009 through its headquarters in New York and five regional, six sub-regional and 129 country offices worldwide. UNFPA also has liaison offices in Brussels, Copenhagen, Geneva, Tokyo and Washington, D.C. UNFPA has decentralised its programs to bring staff closer to the people it serves. As a result, over 80 per cent of UNFPA's 1,119 staff members now work in regional, sub-regional or country offices.¹²

UNFPA is a specialised entity with the purpose of addressing population and development issues, with an emphasis on reproductive health, gender equality, and helping countries collect and use population data for policies and programs (including census work), within the context of the ICPD Program of Action and the Millennium Development Goals.¹³ Its mandate declares that UNFPA is an "international development agency that promotes the right of every woman, man and child to enjoy a life of health and equal opportunity. UNFPA supports countries in using population data for policies and programs to reduce poverty and to ensure that every pregnancy is wanted, every birth is safe, every young person is free of HIV/AIDS, and every girl and woman is treated with dignity and respect."¹⁴ Additional information can be found on UNFPA's website at <http://www.unfpa.org/public/>.¹⁵

UNFPA's extended Strategic Plan 2008-2013 sets out three focus areas: population and development; reproductive health and rights; and gender equality. Its activities can be organised into the following categories:¹⁶

- Reproductive Health and Safe Motherhood: Promoting the health of mothers and their children by reducing maternal deaths and injuries, preventing HIV, and providing life-saving reproductive health supplies and services;

¹⁰ ICPD website <http://www.un.org/popin/icpd2.htm>

¹¹ UNFPA website: "About UNFPA" <http://www.unfpa.org/public/about>

¹² UNFPA 2009 Annual Report http://www.unfpa.org/webdav/site/global/shared/documents/publications/2010/annual_report_09.pdf

¹³ Report of the Executive Director for 2008: Progress in Implementing the Strategic Plan, 2008-2011 http://www.unfpa.org/public/publications/annual_reports

¹⁴ UNFPA website: "About UNFPA" <http://www.unfpa.org/public/about>

¹⁵ This is the organisation-wide website for UNFPA. Country-level websites for this year's sampled countries can be found at: Kenya: www.kenya.unfpa.org; Nicaragua: www.unfpa.org.ni; Afghanistan: www.afghanistan.unfpa.org; Indonesia: www.indonesia.unfpa.org

¹⁶ Report of the Executive Director for 2008: Progress in Implementing the Strategic Plan, 2008-2011 http://www.unfpa.org/public/publications/annual_reports

- Culture, Gender, and Human Rights: Empowering women, reducing poverty, and realising human rights;
- Helping in Emergencies: Responding quickly to prevent the rise of sexual violence, the spread of HIV, unintended pregnancies, and pregnancy-related deaths in emergency situations;
- Poverty, Population, and Development: Using population data and gaining insights into population dynamics to make sustainable development a reality;
- Building Support: Forging alliances with governments, civil society, religious leaders and others to ensure that everyone counts.

UNFPA is funded by a combination of core and non-core resources that are contributed by Member States and others. In 2009, UNFPA's total income was US\$ 762.1 million and it surpassed the funding targets for both core and non-core resources.¹⁷

Previous MOPAN surveys on UNFPA

UNFPA was surveyed by MOPAN in 2005 and 2008. (As noted above, these surveys used a different methodology than the 2010 assessment and comparisons should be made with caution.) In the 2008 MOPAN survey:

- Advocacy - UNFPA was commended by respondents for its advocacy on issues related to its mandate, particularly HIV/AIDS and gender equality, its ability to speak out on politically and/or culturally sensitive issues, and its use of popularised forms of advocacy.
- Alignment - UNFPA received high marks for supporting and aligning its work with national development strategies. It was perceived to provide effective support to national development strategies, mainly by playing an active role in strategy discussions, providing implementation support, and monitoring performance. Its work in the context of UN joint programming was noted as a factor that further supports its alignment to national priorities. Respondents noted a shift in UNFPA's aid modality approach – away from project execution to participation in government-led program-based approaches – as a positive contributor to increased country alignment.
- Harmonisation - Respondents were generally positive about UNFPA's efforts to coordinate with other international development agencies at the program/project level. Respondents with detailed knowledge of UNFPA activities particularly perceived UNFPA to make a significant contribution to harmonisation within the UN system and at the country level. Improvements in UNFPA's inter-agency cooperation and harmonisation and alignment can be seen between the 2005 and 2008 MOPAN surveys.
- Capacity Development - The survey indicated that respondents perceived some weaknesses with regard to UNFPA support for capacity development, particularly of public institutions. However, that perception may be partially due to limited awareness among survey respondents of UNFPA's work in this area. Respondents indicated that UNFPA appeared to be slightly more effective at capacity building at the central level than at the local level. Its capacity development of non-governmental organisations (NGOs) was considered weaker than that of public institutions. However, data collected did not provide any possible explanations for perceived weaknesses.

¹⁷ UNFPA Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan, 3 May 2001, para. 101. http://www.unfpa.org/public/publications/annual_reports

- Information-sharing - Survey respondents indicated that UNFPA makes an effort to share and/or seek information, but that effective information-sharing could be substantially improved. Respondents noted weaknesses in communication (limited to development agencies that are working on health and gender-related activities); a tendency to share documents with host governments only; and irregularity in the sharing of information.
- Policy Dialogue - UNFPA was perceived to involve civil society (primarily NGOs) in government and UNFPA policy dialogue activities, but bilateral interaction appeared to remain dominant. Its areas for policy dialogue appeared to be primarily centred around health issues. UNFPA's most common avenues for policy dialogue were in the context of sector programs, its involvement in donor-government working groups, as manager of basket/pooled funds, and participation in the One UN reform process.

The 2010 assessment findings in Section 3.3.4 on Relationship Management make reference to the 2008 MOPAN survey where relevant.

3. Main Findings

3.1 Introduction

This chapter presents the findings of the 2010 MOPAN Common Approach for UNFPA. Findings are based on respondent survey data and document review.

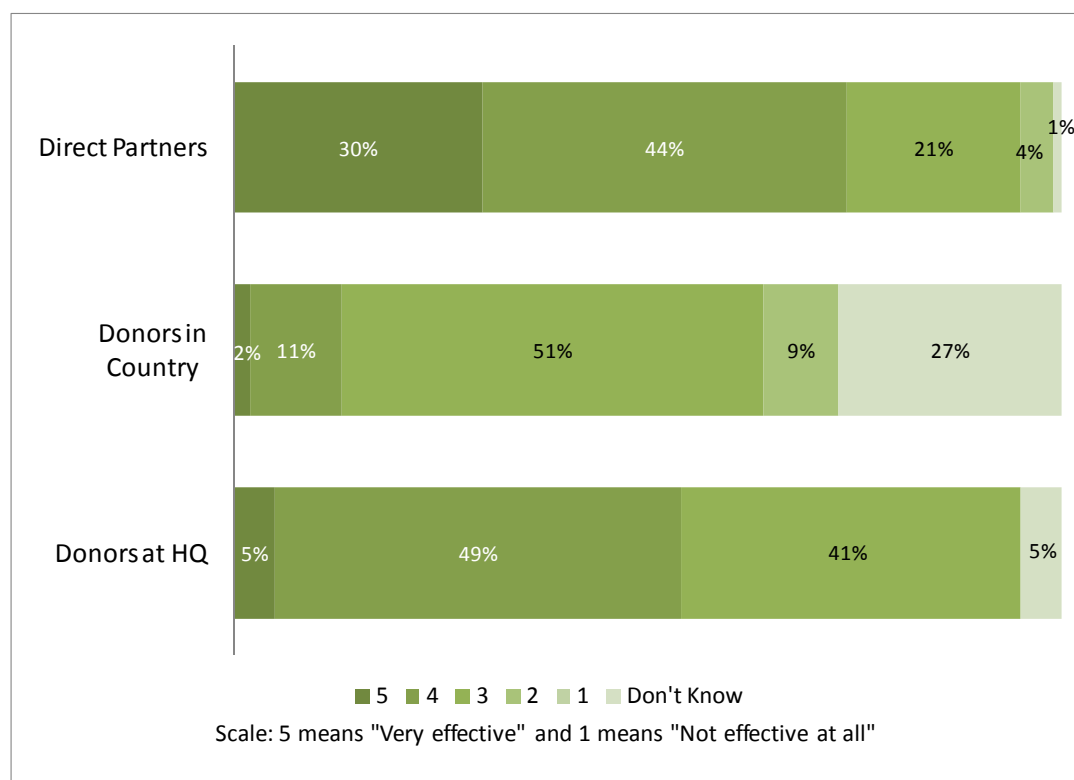
- Section 3.2 presents overall findings on the performance of UNFPA;
- Section 3.3 provides findings on each of the four quadrants (strategic, operational, relationship, and knowledge management); and
- Section 3.4 summarises UNFPA's main strengths and areas for improvement, as identified by survey respondents in their answers to two open-ended questions.

3.2 Overall Findings

This section provides the survey ratings of UNFPA's overall internal effectiveness, survey and document review ratings for all key performance indicators, the distribution of ratings across respondent groups, and a discussion of differences in ratings in Delivering as One countries.

Overall, survey respondents consider UNFPA to be internally effective; direct partners were the most positive in their assessment.

MOPAN has defined 'internal effectiveness' as the extent to which a multilateral organisation is organised to support partners to produce and deliver expected results. Survey respondents were asked to rate the overall internal effectiveness of the multilateral organisation. As shown in the figure below, respondents generally considered UNFPA effective, with over half of all respondent groups providing a rating of 3 or better. Direct partner respondents were most positive about UNFPA's internal effectiveness; donor respondents gave it a more mixed review.

Figure 3.1 Overall Ratings of Effectiveness, by Respondent Group¹⁸

Overall Ratings: In the overall ratings from the survey and document review, UNFPA was rated as adequate or better on the majority of key performance indicators.

Figure 3.2 provides an overview of the ratings for UNFPA on each of the key performance indicators (KPI) assessed in 2010. The diamond shapes indicate document review ratings, while the bars show the survey ratings based on mean scores.

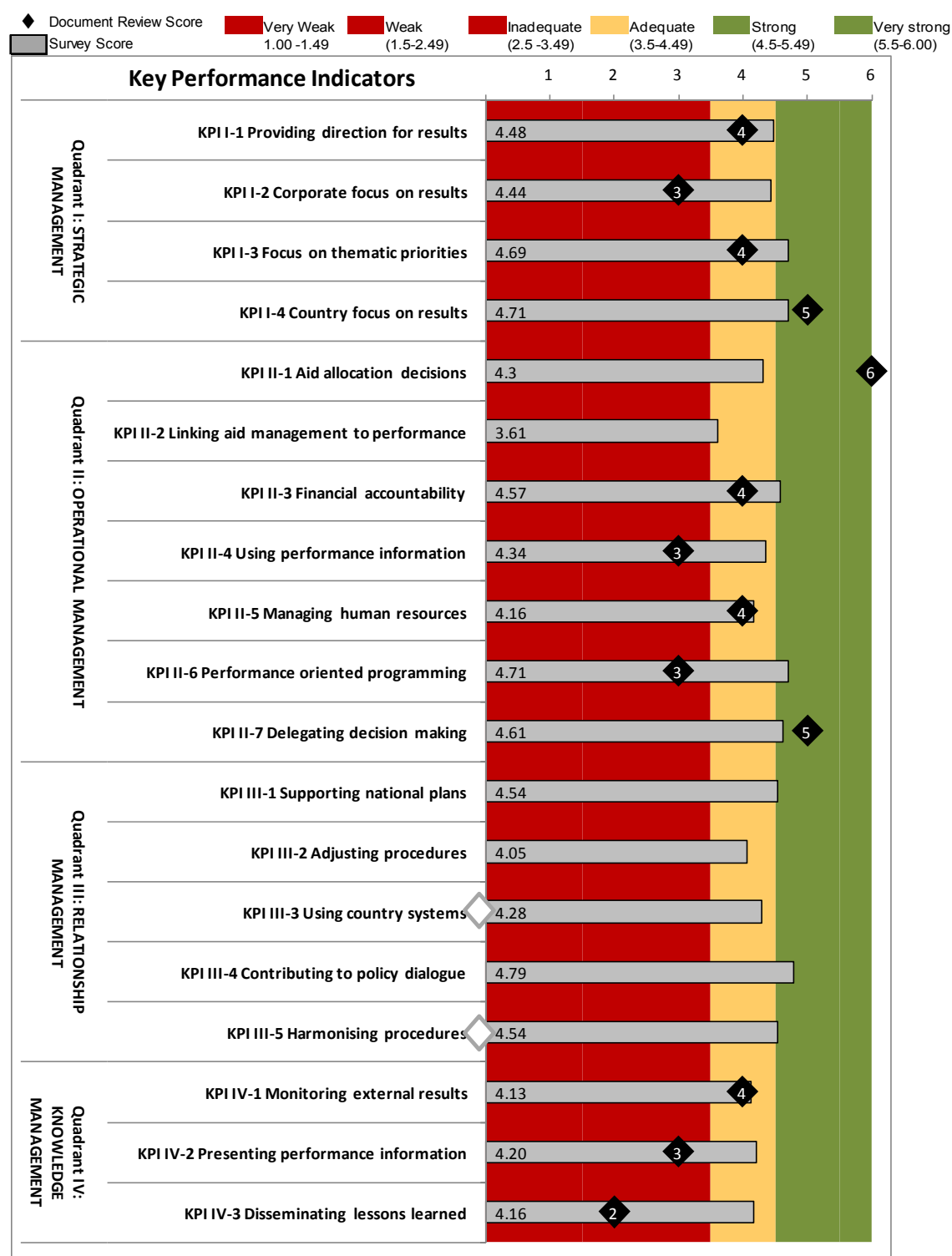
In the **survey**, UNFPA was seen to perform adequately or better on all 19 KPIs assessed in 2010, based on the mean scores of all respondents.

In the **document review**, which assessed 13 key KPIs,¹⁹ UNFPA was rated as adequate or better on eight and as inadequate or weak on five.

Several of the document review ratings were lower than ratings provided by survey respondents, which may be a reflection of a combination of factors, namely: a particularly positive appreciation of UNFPA on the part of respondents, the nature or quality of UNFPA reporting and other documentation, and the criteria used for rating the organisation based on documents, which are listed in Volume II, Appendix VI.

¹⁸ The question on "internal effectiveness" used a 5-point scale. All subsequent questions that required a rating used the 6-point scale described in Section 1.2.

¹⁹ The lower number of KPIs assessed through the document review is due to: (i) some KPIs were not intended to be assessed by document review from the outset (such as contributions to policy dialogue, adjustments to procedures, and support for national plans; (ii) UNFPA lacked data on the Paris Declaration indicators, which are an important component of Relationship Management; and (iii) UNFPA is in a transition period with regard to results-based budgeting (linking aid management to performance).

Figure 3.2 Overall Ratings on Key Performance Indicators (mean scores, all respondents and document review ratings)²⁰

²⁰ In Quadrant III: Relationship Management, there were two KPIs that could not be assessed by document review because the UNFPA data from the 2008 Survey on Monitoring the Paris Declaration was not available. These are indicated by a white diamond. In Quadrant II: Operational Management, the KPI on “linking aid management to performance” was not assessed by the document review because UNFPA is going through a transition period in terms of its results-based budgeting. Other indicators that do not have a diamond were not identified for document review in the 2010 assessment.

Note: Survey respondents were asked to consider a series of statements that describe the practices, systems or behaviours of UNFPA and to rate these on a scale from 1 to 6 where 6 means "very strong", 5 means "strong", 4 means "adequate", 3 means "inadequate", 2 means "weak" and 1 means "very weak" (this scale was used for all statements).

Respondent Group Ratings: Direct partner respondents provided the most positive assessments of UNFPA's performance on key performance indicators while MOPAN members in-country provided the least positive.

In the 2010 assessment of UNFPA, direct partners primarily included: representatives of NGOs and civil society organisations (37 percent), government officials from line ministries (17 percent), and other representatives of government (19 percent).²¹ About 68 percent of direct partners indicated that they are senior level professionals (See respondent profile in Volume II, Appendix III).

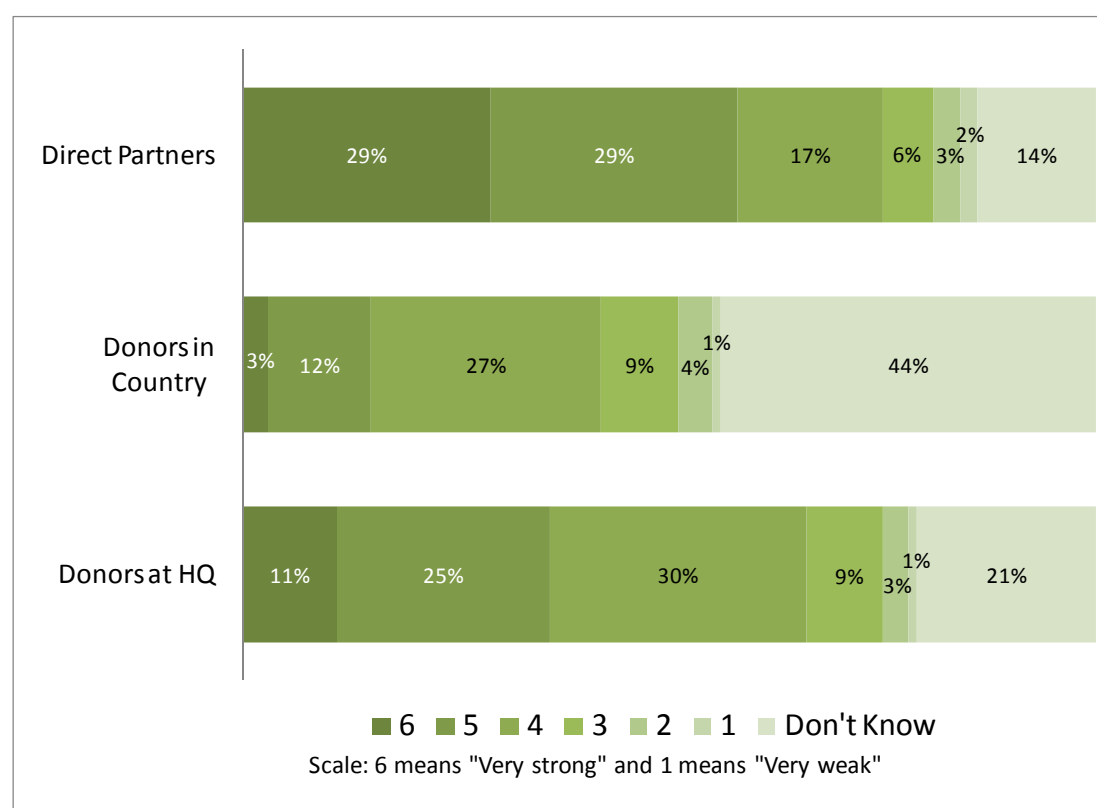
As shown in Figure 3.3 below, direct partners and donors at headquarters tended to rate the performance of UNFPA more favourably than donors in country offices. (This pattern was not unique to the assessment of UNFPA; it also emerged in the 2009 MOPAN assessment of multilateral organisations and in survey data for other organisations assessed in 2010.) The differences in ratings between donors in-country and those at headquarters may be explained by a variety of factors, including the fact that country respondent perceptions are based on their in-country experience while headquarters respondents may be more aware of UNFPA's internal operations due to the nature of their interactions with the organisation.

Statistical tests were conducted to determine whether differences in the ratings of UNFPA among survey respondent groups were statistically significant.²² For all but four micro-indicators,²³ these differences were found to be statistically significant and not a random variation.

²¹ Other direct partner respondents included: government representatives of financial, economic, and planning ministries (8 percent); members of academic institutions (6 percent); parastatal actors (3 percent); members of national parliament or legislature (3 percent); and other groups (6 percent).

²² For micro-indicators for which all three respondent groups gave answers, the Kruskal-Wallis test was conducted. For micro-indicators with two respondent groups, the Mann-Whitney U test was conducted. In both cases, tests were conducted on weighted data, $\alpha = 0.05$.

²³ Differences in ratings among survey respondent groups were not statistically significant for the MIs related to whether the organisation allocates funding according to published criteria; whether it applies conditionality that corresponds with the national government's goals and benchmarks; whether it can approve funding for new areas of cooperation locally, within a budget cap; and whether it has results frameworks that link results across project/program, sector, and country levels.

Figure 3.3 Distribution of Ratings across all Micro-Indicators, by Respondent Group

Don't Know responses

Direct partner respondents and donors at headquarters had lower levels of 'don't know' responses than donors in-country, which may be related to their level of familiarity with UNFPA. As noted in the respondent profile (Volume II, Appendix III), direct partners and donors at headquarters reported the most frequent interactions with UNFPA (daily or weekly contact) and a greater degree of familiarity with the organisation. Donors in-country demonstrated a consistently high level of 'don't know' responses throughout the survey. In fact, of the 15 KPIs that donors in-country were asked to comment on, only one had a 'don't know' level below 30 percent. Donors in-country had particular difficulty answering questions related to the KPI on financial accountability (63 percent don't know), use of performance information (57 percent), delegation of decision-making (56 percent), and use of country systems (52 percent). For direct partners, the level of 'don't know' responses was high regarding the KPI on use of country systems (32 percent).

The high level of 'don't know' responses among donors in-country is not unique to this assessment. In both the 2008 and 2005 MOPAN surveys of UNFPA, donors in-country demonstrated a low to medium degree of familiarity with UNFPA's work.²⁴ The 2008 MOPAN survey explains that contact between donors in-country and UNFPA largely takes place in the context of meetings and discussions with host government and other development partners. In the UNFPA response to the 2008 MOPAN survey, UNFPA acknowledged a need to increase knowledge and awareness about its activities among donors in-country.²⁵ It suggested increasing information-sharing between UNFPA and donors in embassies through further review and discussion of UNFPA reports.

²⁴ MOPAN 2008 Survey Report <http://www.mopanonline.org/publications/3>

²⁵ UNFPA Response to MOPAN Discussion November 2008

http://www.mopanonline.org/upload/documents/2008_Survey_UNFPA_response_.pdf

Headquarters respondents had high 'don't know' rates for questions on managing human resources (59 percent), whether country/regional programming processes are performance oriented (62 percent), and the identification, documentation, and dissemination of lessons learned (32 percent). Volume II, Appendix IV provides the respondent base and level of 'don't know' responses for each question in the MOPAN 2010 assessment.

As noted in the methodology (Volume II, Appendix I), 'don't know' responses were not factored into the calculation of mean scores. However, where the proportion of respondents answering 'don't know' was approximately 30 percent or more for a question relating to an MI, this is indicated in the text of the report. This information will be important for MOPAN members and multilateral organisations as a basis for discussions about expectations of respondent familiarity with the organisation's systems, practices and behaviours.

There were no measurable differences between UNFPA performance ratings in Delivering as One pilot countries and other countries.

The MOPAN Common Approach does not yet include specific indicators to analyse the extent to which organisations are engaging in the Delivering as One (DAO) initiative of the United Nations. In analysing the data from this assessment, however, there was an effort to see whether there were any differences in performance of the organisations in the countries that have been designated as DAO pilot countries and in other countries.

MOPAN analysed differences in UNFPA survey responses between UN Delivering as One pilot countries (Rwanda and Viet Nam) and other countries. With the exception of one MI, the differences were not statistically significant.²⁶

3.3 UNFPA Performance in Strategic, Operational, Relationship, and Knowledge Management

3.3.1 Overview

This section presents the results of the 2010 Common Approach assessment of UNFPA in four performance areas (quadrants): Strategic, Operational, Relationship, and Knowledge Management.

The following sections (3.3.2 to 3.3.5) provide the overall survey and document review ratings for the KPIs in each quadrant, the mean scores by respondent group, and findings based on an analysis of survey and document review ratings.

The findings highlight areas where there were divergent perspectives among survey respondent groups or observed differences between the survey results and document review ratings. The survey data for each KPI and MI by quadrant are presented in Volume II, Appendix V. The document review ratings are presented in Volume II, Appendix VI.

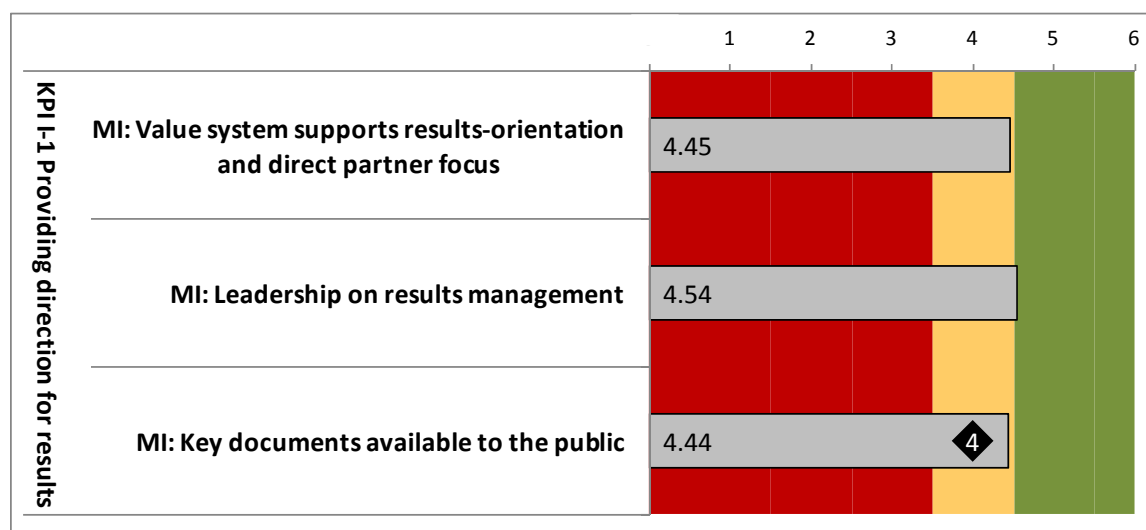
²⁶ Mann-Whitney U tests of differences between DAO and non-DAO respondents on weighted data, $\alpha = 0.05$, found that differences were significant for one micro-indicator (whether the organisation's resource allocations follow published criteria). Significance testing aims to analyse whether there are differences in the data that are unlikely to have occurred by chance. However, the explanatory value of such tests is limited and there are several possible reasons why no significant difference was found between the DAO pilot countries and non-DAO countries in the 2010 assessment. The reasons include: (i) DAO does not affect the performance of the MO country team along the indicators measured, and therefore there are not differences or (ii) there are differences, but they are due to other factors that have greater influence on the indicators measured.

KPI I-1: Providing Direction for Results

Finding 1: According to survey respondents, UNFPA provides adequate direction for results. The document review found that UNFPA is adequate in making documents available to the public.

Overall, survey respondents rated UNFPA as adequate or better on the three MIs in this KPI. The document review, which only rated the MI on availability of documents, gave UNFPA a score of adequate.

Figure 3.6 KPI I-1: Providing Direction for Results, Ratings of Micro-indicators²⁷



MI: Value system supports results-orientation and direct partner focus

This micro-indicator was represented by two questions in the survey, one asking if the culture reinforces a focus on results, and the other whether the institutional culture is direct-partner focused.

Overall, survey respondents perceive that UNFPA's institutional culture adequately reinforces a focus on results and is strong in having a direct-partner focus.

- 85 percent of direct partner respondents rated UNFPA as strong
- donors in country offices rated it as adequate
- donors at headquarters gave a mixed rating – adequate for the institutional culture for results and strong for direct partner focus

However, 37 percent of donors in country offices answered 'don't know' to questions in this MI.

MI: Leadership on results management

MOPAN donors at headquarters were the only respondent group asked about the extent to which UNFPA's senior management shows leadership on results management, for which they rated the organisation as strong.

²⁷ The MI "Value system supports results-orientation and direct partner focus" and the MI "Leadership on Results Management" were not assessed by the document review for this year's report.

MI: Key documents available to the public

This MI was rated in both the survey and document review:

Overall, survey respondents rated UNFPA as adequate in making key documents available to the public. Donors at headquarters and direct partners rated the organisation as strong while donors in-country rated it as adequate.

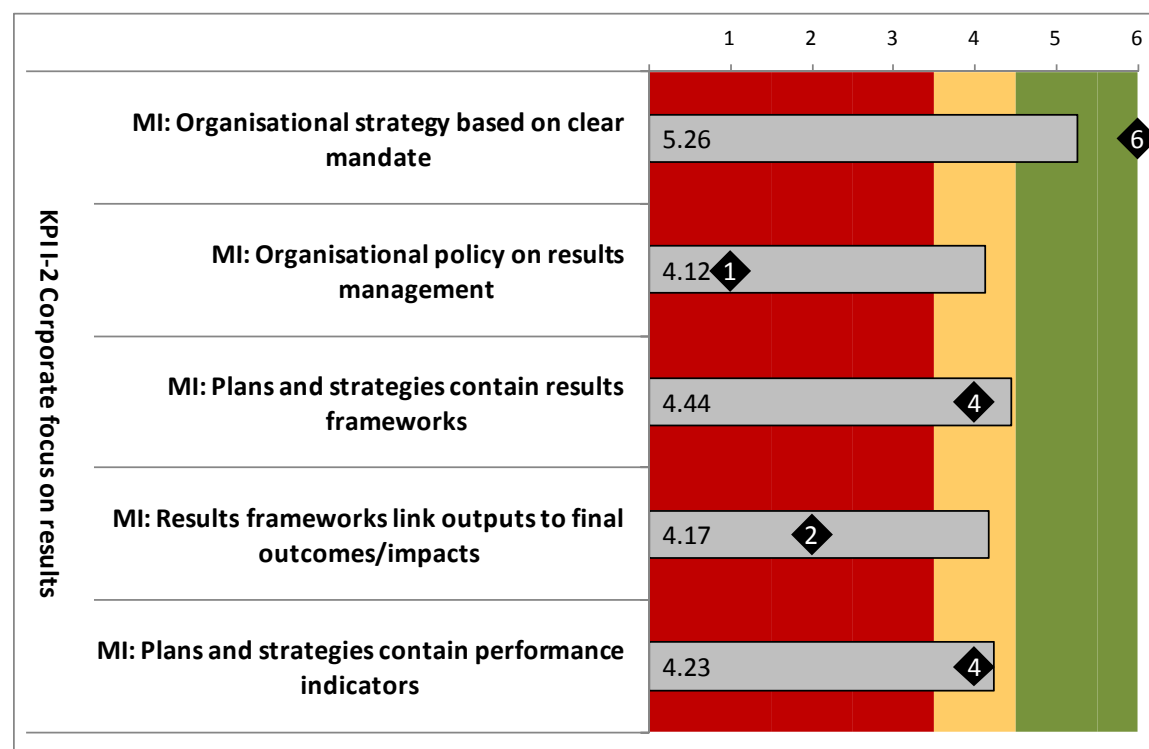
The document review rated UNFPA as adequate in making key documents available to the public. It found that nearly all of UNFPA's primary organisation-wide documents are available in English on its website and that most key planning and reporting documents (e.g., annual reports, strategic plans, and oversight reports) are available in all six official UN languages. Country level planning and reporting documents are available on the website, but to a lesser extent than organisation-wide documents.

Although UNFPA has a disclosure policy, it is not posted on its website. This is also the case for audits and documentation related to human resource practices. UNFPA has a searchable database for evaluations, but not all evaluations are submitted to the database.

KPI I-2: Corporate Focus on Results

Finding 2: UNFPA's corporate focus on results was considered adequate by MOPAN members at headquarters. The review of documents suggested that UNFPA is in the process of strengthening its policy on results-based management but that there is still room to improve the quality of its results frameworks.

Figure 3.7 KPI I-2: Corporate Focus on Results, Ratings of Micro-indicators



MI: Organisational strategy based on a clear mandate

Both survey respondents at headquarters and the document review gave UNFPA ratings of strong or better on questions related to the clarity of its mandate and the link between its mandate and its strategy. Donors at headquarters rated UNFPA as strong for both of the questions asked: whether UNFPA has a clear mandate and whether UNFPA's organisation-wide strategy is aligned with its mandate. Between 95 and 97 percent of donors at headquarters gave a rating of adequate or better for the alignment between strategy and mandate, making it the highest ranked micro-indicator in this year's assessment.

The document review also assessed whether the organisation-wide strategy was based on a clear definition of mandate, and provided a rating of very strong.

UNFPA's mandate, as established by the United Nations Economic and Social Council (ECOSOC) in 1973, is published on its website and articulates its areas of work in population and development and reproductive health. The three focus areas outlined in the *Strategic Plan, 2008-2011: Accelerating Progress and National Ownership on the ICPD Program of Action* are explicitly linked to these areas of its mandate and reflect the Fund's emphasis on gender equality and human rights.²⁸

MI: Organisational policy on results management

UNFPA has been integrating results-based management (RBM) into its practices since UN organisations began to establish RBM systems at the end of the 1990s. MOPAN members at headquarters perceived UNFPA to be performing adequately regarding the application of results management across the organisation. UNFPA is currently going through a period of review and strengthening of its approach to results-based management (RBM), which is referred to as the RBM optimisation initiative. A new policy on RBM has been developed to supersede and expand on the statement issued in 2000. The content of the policy illustrates a positive evolution in the UNFPA's approach to RBM. The low document review rating on this MI is due to the fact that the policy has not yet been corporately approved and is not yet being applied.

MI: Plans and strategies contain results frameworks

Donor respondents at headquarters and the document review indicated that UNFPA's performance is adequate in terms of having organisation-wide strategies and plans containing frameworks of expected management and development results.

UNFPA's Strategic Plan 2008-2013 presents a development results framework (DRF) and a management results framework (MRF). The DRF defines three goals, 13 outcomes, and their corresponding indicators in the three focus areas of the strategic plan (population and development, reproductive health and rights, and gender equality). The MRF includes nine management outputs.

The quality of UNFPA's results frameworks have improved since those presented in the Multi-Year Funding Framework (MYFF), which was UNFPA's primary planning document prior to the 2008 Strategic Plan.²⁹ This being said, some areas for improvement in the quality of UNFPA's results frameworks remain, such as ensuring a clear link between results in the MRF and the DRF, and strengthening the utility of its indicators. These areas for improvement are explained in further detail below.

²⁸ This strategic plan was subsequently extended to 2013,

²⁹ The 2008 Joint Evaluation of the UNDG Contribution to the Paris Declaration on Aid Effectiveness commended UNFPA on encouraging a results-based management framework more fully.

MI: Results frameworks link outputs to final outcomes/impacts

While UNFPA was rated as adequate by donors at headquarters, who were the only survey respondents asked about this MI, the document review gave it a rating of weak.

UNFPA results frameworks do not always demonstrate causal links from outputs through to outcomes and impact, due to (a) the definition of the different levels of results and (b) lack of clarity in the results chain. For instance, the MRF labels all results as outputs, while some would actually be categorised as outcomes according to OECD definitions. (For example, Output 7, which refers to ensured sustainable resources for UNFPA, would actually be an outcome level result.)³⁰

UNFPA management has already recognised limitations in its results frameworks. In its first regular session of 2010, the Executive Board suggested that the mid-term review of the strategic plan could provide an opportunity for UNFPA to review and adjust its results frameworks and strengthen its results-based management.

MI: Plans and strategies contain performance indicators

Donors and the document review rated UNFPA as adequate at including standard (measurable) performance indicators in organisation-wide results frameworks.

Although UNFPA has indicators in its results frameworks, which include baseline data and time-sensitive targets, the document review finds that the indicators themselves are not as useful as they could be in tracking performance due to problems in the way that results are defined.

There are also potential challenges with regard to managing the number and ensuring the quality of indicators used across the organisation. In 2008, the Division of Oversight Services noted the operational challenges in managing a multitude of indicators throughout UNFPA, with 87 high-level indicators in the Strategic Plan and 38,000 indicators at the programming-level.³¹

Additionally, the quality of the indicators and their targets could be improved to better demonstrate results attributable to the work of UNFPA. For instance, one of the indicators for outcome 2.2 in the DRF is the proportion of births attended by skilled health professionals. The target is set at 85 percent. However, it is difficult to quantify UNFPA's contribution to achieving this target considering that other actors in the health sector also contribute.

KPI I-3: Focus on Thematic Priorities**Finding 3: UNFPA was rated overall as adequate or better by survey respondents and the document review for mainstreaming thematic priorities into its work.**

The assessment looked at five cross-cutting thematic areas identified as priorities by MOPAN: gender equality, human rights, HIV/AIDS, environment and good governance.³²

Overall, UNFPA was rated as strong by survey respondents for mainstreaming gender equality, human-rights, and HIV/AIDS into its work, and as adequate for mainstreaming the environment and good governance. The document review rated UNFPA as strong or very strong for mainstreaming gender equality, human-rights, and HIV/AIDS, while giving a rating of

³⁰ UNFPA is programming at the output level. Therefore, a strong RBM framework should provide the necessary information to understand whether the defined outputs are being met and whether or not they are feeding into desired outcomes.

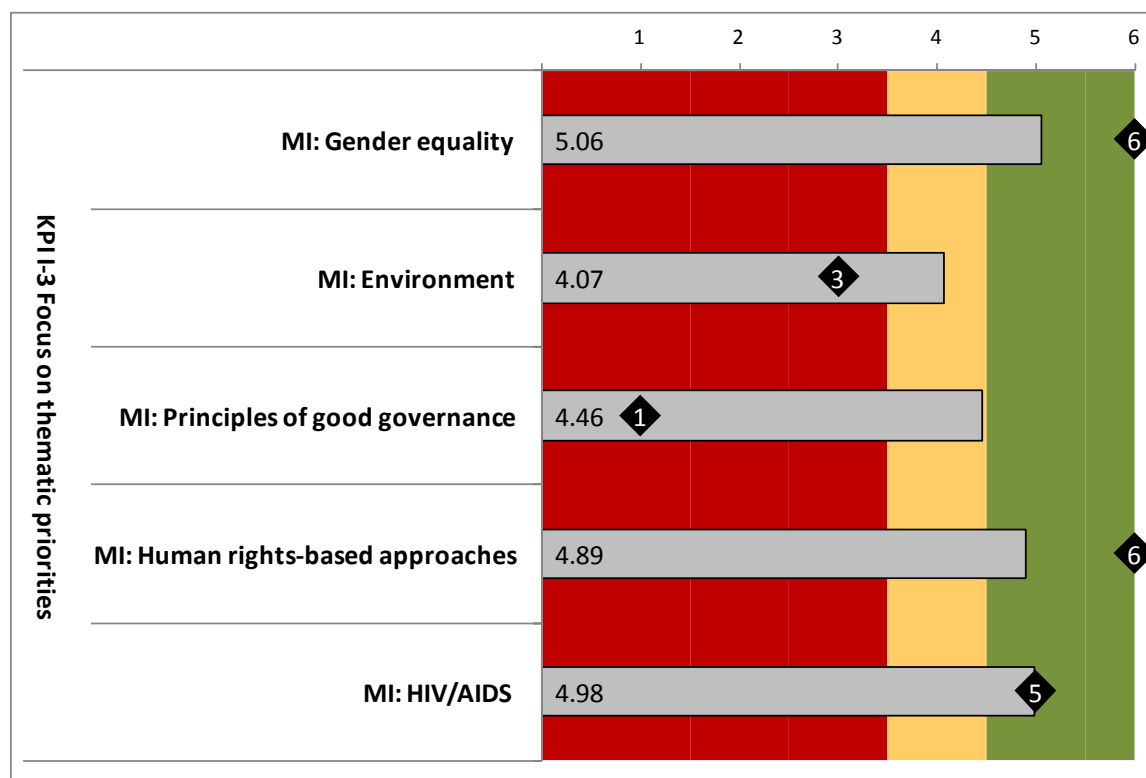
³¹ UNFPA Internal Audit and Oversight Activities in 2008 (paragraph 22)

³² UNFPA identified its own cross-cutting priority areas in the Strategic Plan, 2008-2011. These include: mainstreaming young people's concerns; emergencies and humanitarian assistance; and special attention to marginalised and excluded populations.

inadequate and very weak for mainstreaming the environment and principles of good governance.

UNFPA appears to effectively mainstream the issues that are integrally related to its core mandate – hence the strong performance in areas such as gender equality and HIV/AIDS. While the environment and good governance are cross-cutting priorities for MOPAN, they are not recognised as such in UNFPA’s key strategic documents.

Figure 3.8 KPI I-3: Focus on Thematic Priorities, Ratings of Micro-indicators



MI: Gender Equality

UNFPA is one of the few UN agencies that includes gender equality both as a goal in its Strategic Plan and as a cross-cutting theme in all of its work. Not surprisingly, the organisation’s mainstreaming of gender equality in its programmatic work was rated as strong by all survey respondent groups (nearly 90 percent of both direct partners and donors at headquarters) and as very strong by the document review. A review of its policy and planning documents provide evidence that UNFPA has defined specific result areas, reports on those results, and evaluates its work in gender mainstreaming.³³ The most recent Evaluation Quality Assessment (2007-2008) indicated that most UNFPA evaluations (at all levels of the organisation) use data disaggregated by sex and comment on the extent to which the evaluated programs/projects promoted gender equality. The quality of evaluation in this area also showed signs of improvement in 2009.³⁴

³³ The organisation created a new Strategic Framework on Gender Mainstreaming and Women’s Empowerment for 2008-2011, which is scheduled to be evaluated at the end of 2011.

³⁴ UNFPA, Division of Oversight Services, Evaluation Quality Assessment: 2007-2008, p. 16.

MI: Environment

UNFPA was rated as adequate by survey respondents for mainstreaming environment in its programmatic work, but 30 percent of donors at headquarters and 56 percent of donors in country offices answered 'don't know' to this question.

The document review rated this MI as inadequate because UNFPA does not explicitly commit to environmentally responsible practices (such as environmental assessments) in its operational management or to mainstreaming the environment throughout its work as a cross-cutting theme. As noted above, environment is not considered a cross-cutting priority by UNFPA.

MI: Principles of good governance

Survey respondents provided a rating of adequate for sufficiently promoting the principles of good governance in UNFPA's work (88 percent of direct partners provided an assessment of adequate or above). In contrast, the document review rated this MI as weak due to the fact that mainstreaming principles of good governance is not explicitly mentioned in the organisation's principle planning or reporting documents. Similarly to environment, good governance is not considered a cross-cutting priority by UNFPA.

MI: Human rights-based approaches

UNFPA was rated as strong by donors at headquarters and direct partner respondents for its application of human rights-based approaches to development in its programmatic work, with nearly 90 percent of both respondent groups rating its work as adequate or better; donors at the country level consider it to be adequate in this area. In contrast, the document review provided a rating of very strong for this MI. UNFPA began to apply human rights-based approaches in 2003 when it adopted the *Common Understanding on a Rights-Based Approach*, along with a group of UN agencies. Since then, UNFPA has tailored its approach and is currently following its own organisation-wide policy on integrating human rights-based approaches entitled *Rights into Action: UNFPA Implements Human Rights-Based Approach*. Nonetheless, it is unclear the extent to which UNFPA has feedback mechanisms in place to understand its progress in this area.

MI: HIV/AIDS

UNFPA conducts numerous initiatives in HIV/AIDS and was rated as strong for mainstreaming HIV/AIDS in its programmatic work by both survey respondents and the document review. In fact, 86 percent of donors at headquarters rated UNFPA's work as adequate or better. However, 31 percent of donors in country offices answered 'don't know'. UNFPA's Strategic Plan commits the organisation to integrate HIV/AIDS into all of its programming activities. The review of documents did not find evidence of how UNFPA is addressing HIV/AIDS in its internal operations, although presumably it participates in the HIV/AIDS in the workplace initiative "UN Cares" of the UN system.

KPI I-4: Country Focus on Results

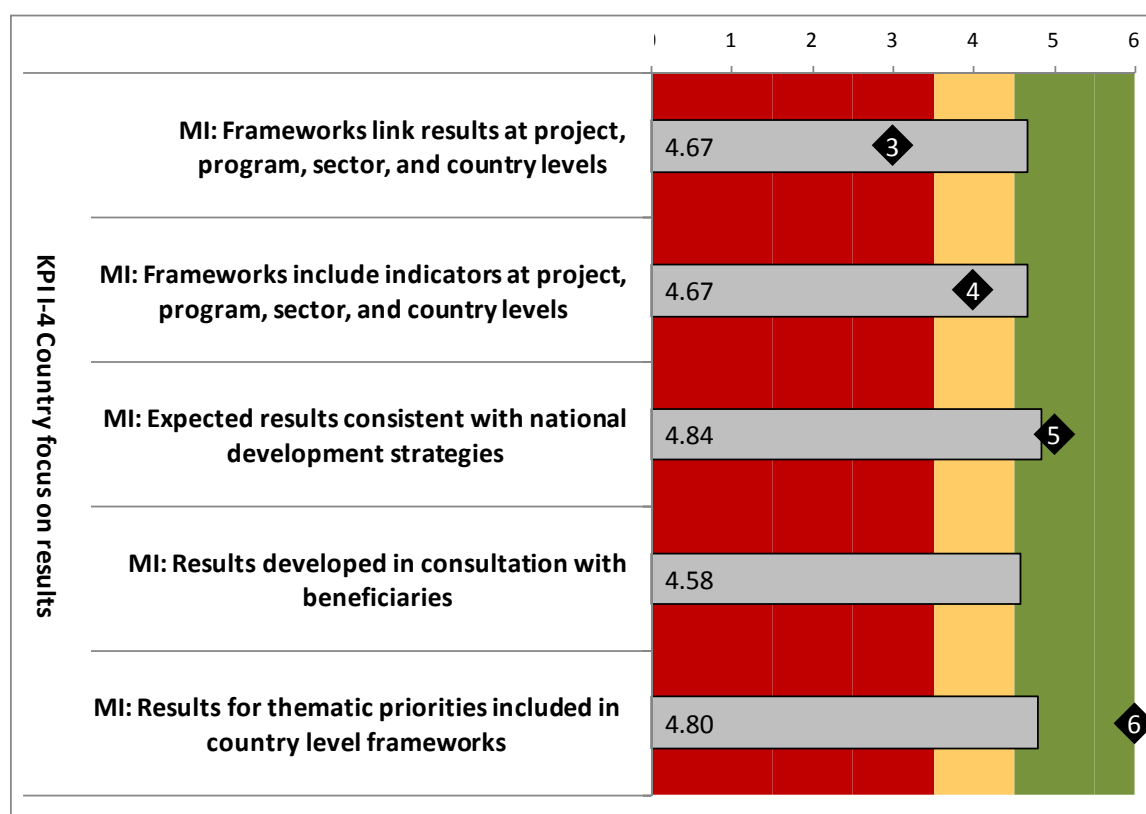
Finding 4: UNFPA's focus on results at the country level was considered overall as strong by survey respondents and the document review. Its country programming documents were rated as strong by the document review for aligning to national strategies and integrating cross-cutting thematic priorities, but received lower ratings for defining and linking results at different levels.

Overall, survey respondents (which included only direct partners and donors in-country) rated UNFPA as strong on all five MIs in this KPI. The document review, which assessed four MIs, provided a wide range of ratings, from inadequate to very strong.

In this KPI, direct partners rated UNFPA as strong on all MIs, while donors in-country rated it as adequate. There was a high level of 'don't know' responses among donors in-country (between 39 and 47 percent) for all MIs. Differences in ratings between respondents were statistically significant³⁵ except for the indicator on linking results across all levels.

The document review sampled the Country Programmes and associated workplans for five countries (Afghanistan, Indonesia, Kenya, Nicaragua, and Zambia)³⁶ that were generated between 2005 and 2010.³⁶

Figure 3.9 KPI 1-4: Country Focus on Results, Ratings of Micro-indicators³⁷



MI: Frameworks link results at project, program, sector, and country levels

Donors at the country level gave UNFPA a rating of adequate and direct partners a rating of strong for this MI. UNFPA Country Programmes (which are submitted to the Executive Board) contain statements of expected results in the Results and Resources Framework. Country Programme Action Plans (CPAPs) and Annual Work Plans (AWPs), which are kept at the country-level, also contain results frameworks with statements of expected results.

The document review rated this MI as inadequate. Although the results frameworks reviewed generally articulate results at the output and outcome levels and explicitly mention links to expected results for UNFPA's sector strategies, not all results statements in the country programs are appropriate to their results level. In the sample of countries that were assessed,

³⁵ Mann-Whitney U test on weighted data, $\alpha = 0.05$

³⁶ It is important to note that some of the documents reviewed predate the current Strategic Plan (2008-2013), and may not be as representative of the approaches being used during this period.

³⁷ The MI: "Results developed in consultation with beneficiaries" was not assessed by the document review.

outputs and outcomes were often mislabelled. For instance, in the 2009 Afghanistan Final Country Programme, Output 1 (Increased availability of and demand for high-quality family planning services in target provinces) appears to be closer to an outcome rather than an output, according to OECD definitions. Due to mislabelled results, there are gaps in the ability to link results across organisational levels.

MI: Frameworks include indicators at project, program, sector, and country levels

Donors at the country level rated UNFPA as adequate and direct partners as strong for this MI. The document review rated this MI as adequate.

In some country program action plans (CPAPs) there was a noticeable effort to include time-sensitive targets for performance indicators, but this practice was not consistent across the five countries sampled. For example, some targets were missing in the CPAP for Zambia and no targets were included in the CPAP for Afghanistan. Additionally, the results frameworks did not include references to data sources and data collection methods to assess whether targets have been reached.

MI: Expected results consistent with national development strategies

The survey and document review both rated UNFPA as strong on this MI and nearly 90 percent of direct partners provided a rating of adequate or better.

The document review found that all country programs contained general reference to the national development strategy, poverty reduction strategy paper (PRSP), or to the United Nations Development Assistance Framework (UNDAF). In addition, there was usually an explicit link between the results of the country programs and the results of the national strategy or PRSP, and the UNDAF.

MI: Results developed in consultation with beneficiaries

Donors at the country level rated UNFPA as adequate and direct partners as strong for this MI. The document review did not assess whether UNFPA results are developed in consultation with beneficiaries.

MI: Results for thematic priorities included in country level frameworks

Survey respondents provided an overall rating of strong for ensuring that country strategies include results for the thematic areas it defines as cross-cutting priorities. Nearly 90 percent of direct partners rated UNFPA as adequate or better on this MI; donors in-country were more critical and provided a rating of adequate.

The document review rated UNFPA as very strong for this MI. In all of the Country Programme Documents reviewed, the results frameworks included specific results for gender equality and HIV/AIDS and all frameworks referred to the use of human rights-based approaches to programming.

3.3.3 Operational Management

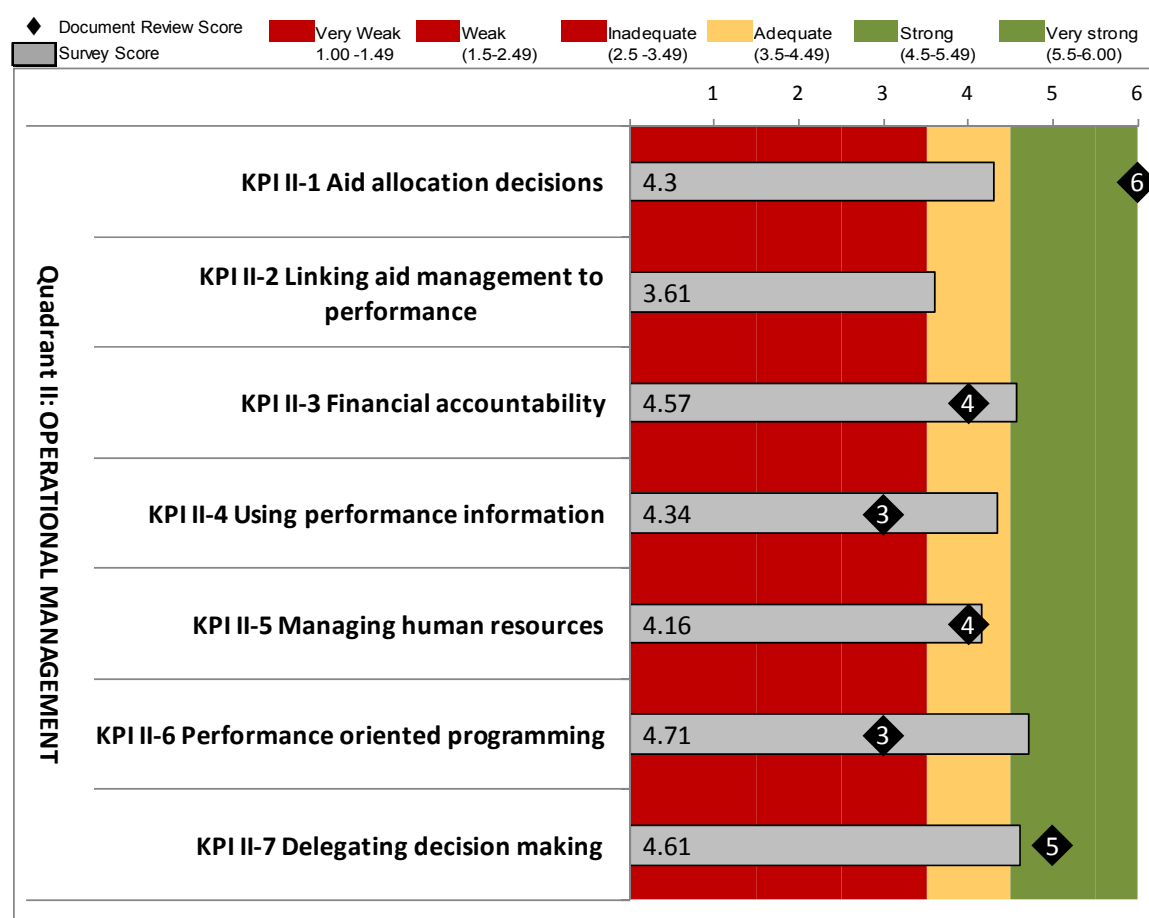
In Quadrant II: Operational Management, 22 MIs were rated in the survey and 15 in the document review. These are discussed below.

Figure 3.10 below shows the overall survey and document review ratings for the seven KPIs in the area of operational management. Figure 3.11 shows the mean scores for the seven KPIs for all survey respondents, and by respondent groups

Overall, UNFPA was considered by survey respondents to perform strongly on three of the seven KPIs in operational management and adequately on the others.

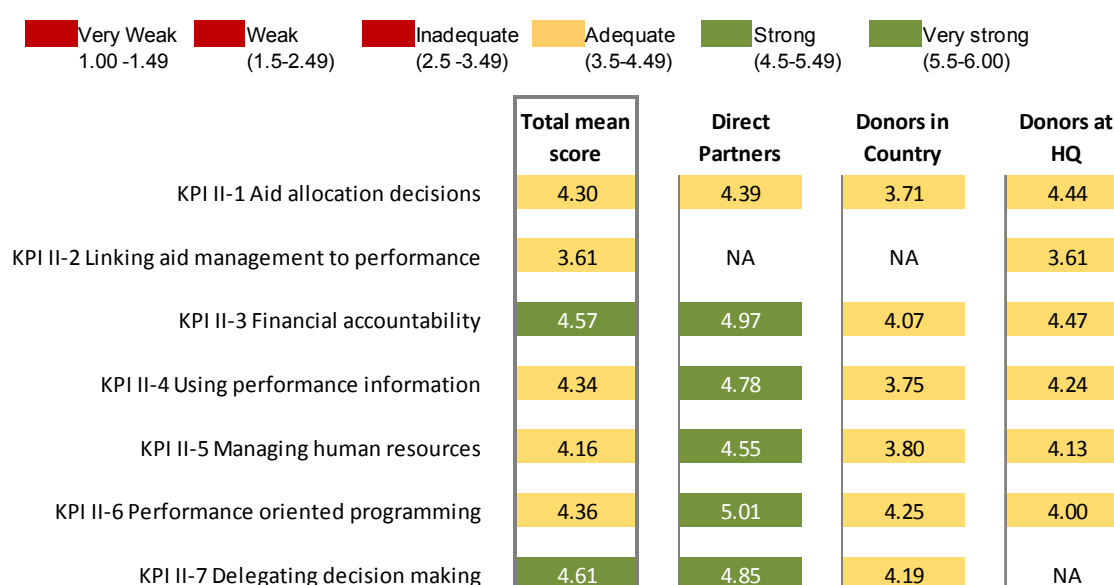
The document review rated UNFPA as strong or very strong on two KPIs in operational management; adequate on two; and below adequate on the remaining two.³⁸

Figure 3.10 Quadrant II: Operational Management – Survey and Document Review Ratings³⁹



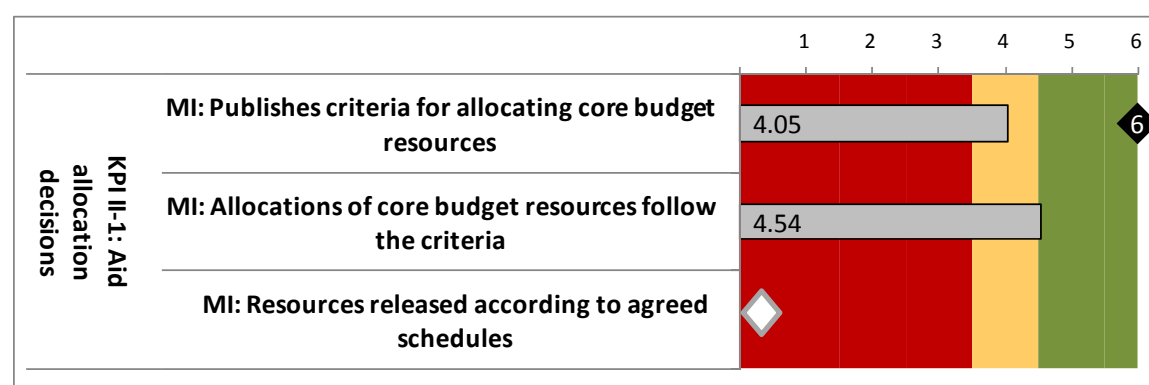
³⁸ The KPI on linking aid management to performance was not included in the document review assessment of the UNFPA.

³⁹ Due to current budget restructuring within UNFPA, the document review did not assess KPI II-2 on "Linking aid management to performance".

Figure 3.11 Operational Management Performance, Mean Scores by Respondent Group

KPI II-1: Aid Allocation Decisions

Finding 5: Survey respondents rated UNFPA as adequate in making transparent aid allocation decisions, while the document review rated it very strong for publishing criteria for the allocation of its resources.

Figure 3.12 KPI II-1: Aid Allocation Decisions, Ratings of Micro-indicators⁴⁰

MI: Publishes criteria for allocating core budget resources

Overall, UNFPA was rated as adequate on this MI by survey respondents and as very strong by the document review.

⁴⁰ The MI "Allocations of core budget resources follow the criteria" was not assessed by the document review in 2010. The document review was designed to draw data from the *2008 Survey on Monitoring the Paris Declaration*⁴⁰ to assess the MI: "Resources released according to agreed schedules". However, the white diamond indicates that data from the 2008 survey was not available for UNFPA. Survey respondents did not assess this MI.

While donors at headquarters and direct partners rated UNFPA as adequate on this MI, donors in country offices rated it as inadequate – although 65 percent of donors in-country answered ‘don’t know’ to this question.

Up-to-date criteria for aid allocation is published in the 2007 Report of the Executive Director entitled *Review of the System for the Allocation of UNFPA Resources to Country Programmes*.⁴¹ Since 1996, the UNFPA resource allocation system has been based on the principle that countries furthest away from achieving ICPD goals in the areas of reproductive health and gender equality should receive priority assistance from UNFPA. The system was reviewed by the Executive Board in 2000 and 2005 to reflect the ICPD+5 targets along with the Millennium Development Goals (MDGs).

MI: Allocations of core budget resources follow the criteria

Direct partners and donors at headquarters perceived that UNFPA was strong in allocating its budget resources according to the published criteria. Donors in-country gave a rating of adequate.⁴² The document review did not assess this MI.

MI: Resources released according to agreed schedules

This MI draws on Indicator 7 of the Paris Declaration and was to be assessed only by the review of documents. However, the data on UNFPA performance on the Paris indicators was not available for the assessment.

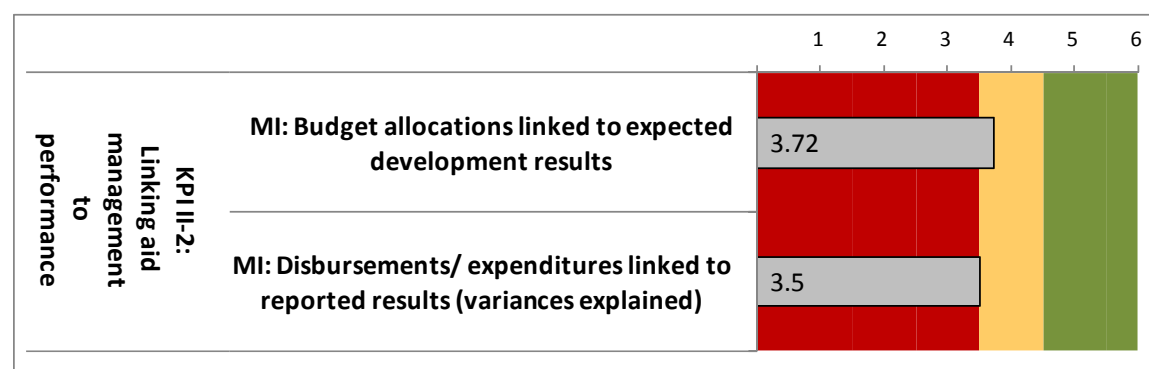
KPI II-2: Linking Aid Management to Performance

Finding 6: UNFPA was generally perceived by donors at headquarters to adequately link aid management to performance.

MOPAN members at headquarters, the only respondent group asked, rated UNFPA as adequate on the two MIs in this KPI.

This KPI was not rated in the document review because UNFPA is in a transition period and is in the process of revising its approach to results-based budgeting. (Please see further discussion below on the changes in budgeting to be implemented between 2010 and 2014.)

Figure 3.13 KPI II-2: Linking Aid Management to Performance, Ratings of Micro-indicators⁴³



⁴¹ The Review of the System for the Allocation of UNFPA Resources to Country Programs <http://67.205.103.77/about/direction.htm>

⁴² Differences in ratings between respondent groups regarding whether the UNFPA allocates its resources according to its published criteria are not significantly different, using the Kruskal-Wallis test on weighted data, $\alpha = 0.05$

⁴³ The document review did not rate the MIs in this KPI because UNFPA is currently in a transition period with regard to results-based budgeting.

MI: Budget allocations linked to expected development results

Survey respondents found UNFPA to be adequate in linking aid allocations to expected results.

The structure of the organisation's current budget, however, only links aid allocations to expected management results and not development results. Since the 2008-2009 Biennial Support Budget (BSB), UNFPA has been allocating its budget according to management functions, based on the agreement that "it would not be feasible to try to relate BSB activities to specific program areas, be they program objectives, sectors, agency goals, or the broader Millennium Development Goals".⁴⁴ However, at the request of the Executive Board, UNFPA is now moving towards using a single integrated budget for 2014, which would be harmonised with UNDP and UNICEF. The integrated budget would link budgeted amounts to the results presented in the organisation's strategic plan, with the intention of linking all cost categories (development activities, UN development coordination, management, special purpose) with their corresponding results and indicators of performance. This initiative is intended to reduce the multitude of frameworks used by the Agency, increase the direct link between budgeting and results, and better facilitate strategic decision making.

MI: Disbursements/expenditures linked to reported results (variances explained)

Although donor respondents at headquarters, who were the only respondents asked to answer this question, rated UNFPA as adequate on this MI, this was the micro-indicator that received the lowest ratings in the survey. However, 30 percent of respondents answered 'don't know'.

It is currently difficult to link disbursements to reported results due to the fact that the BSB follows a results framework that is different from the Strategic Framework. The adoption of an integrated budget, however, should increase the coherency of budgeting for results as well as reporting due to the proposed alignment between the results framework in the integrated budget and the Strategic Framework.⁴⁵

KPI II-3: Financial Accountability

Finding 7: UNFPA's policies for financial accountability were rated as strong overall by survey respondents and adequate by the document review. However, the review of documents found that UNFPA has room to improve in the way that it addresses risk management.

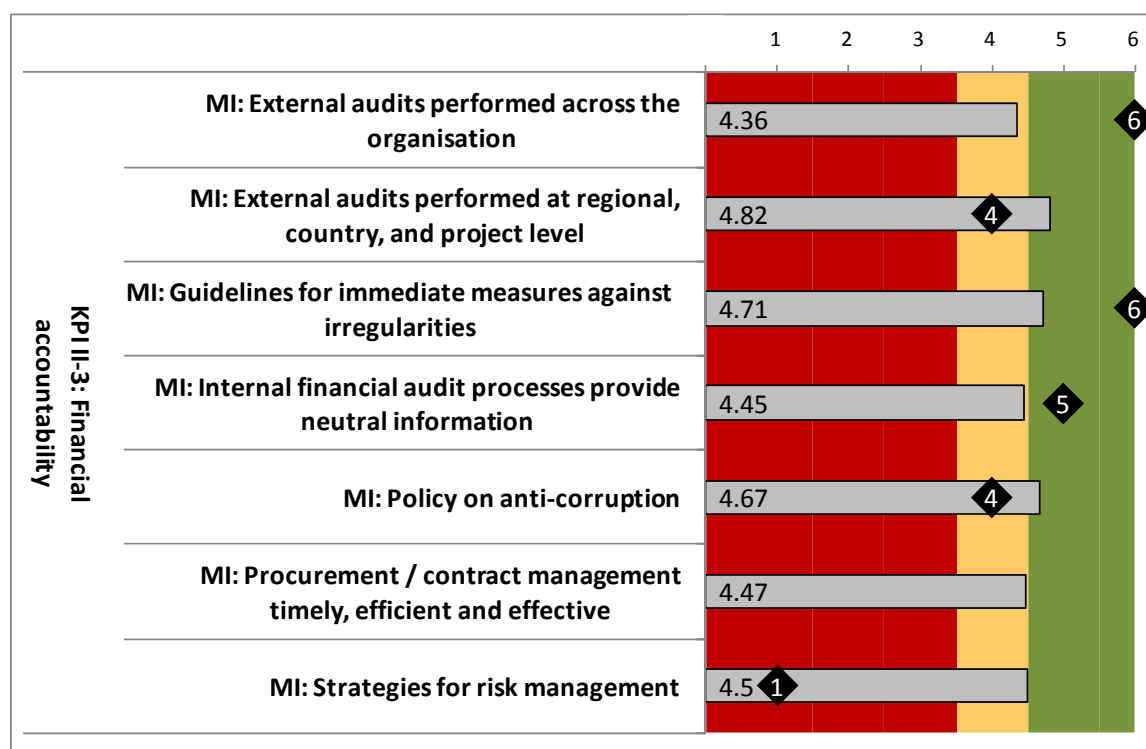
Overall, survey respondents rated UNFPA as adequate or strong on the seven MIs in this KPI. The document review, which assessed six MIs, rated UNFPA as adequate or better on five MIs, and very weak on one.

Donors in country offices had a high level of 'don't know' answers (from 58 to 68 percent), and 41 percent of donors at headquarters responded 'don't know' concerning risk management.

⁴⁴ Results-Based Budgeting for the Biennial Support Budgets of the United Nations Children's Fund, the United Nations Development Program, and the United Nations Population Fund, 2007

http://www.unfpa.org/exbrd/2007/annualsession/rbb_eng.pdf

⁴⁵ Joint report of UNDP, UNFPA, and UNICEF - Road map to an integrated budget: cost classification and results-based budgeting www.undp.org/execbrd/word/dp-fpa2010-1.doc

Figure 3.14 KPI II-3 – Financial Accountability, Ratings of Micro-indicators⁴⁶

MI: External audits performed across the organisation

The survey results indicated that UNFPA is adequate in undertaking external audits that meet the needs of donors. The document review focused on whether external audits, meeting international standards, were performed across the organisation. It rated the UNFPA as very strong in this regard.

External audits of UNFPA are performed at the organisation-wide and country levels by the UN Board of Auditors under the Single Audit Principle. The most recent organisation-wide audit conducted by the Board of Auditors was the *UNFPA Financial Report and Audited Financial Statements for the Biennium ended 31 December 2007 from the Board of Auditors*.⁴⁷

MI: External audits performed at regional, country, and project level

Survey respondents (donors in-country and direct partners only) found UNFPA to be strong in performing appropriate audits at the country level. The document review gave a rating of adequate. External audits of funds managed by UNFPA's implementing partners (NEX audits) are conducted by legally recognised auditors, chosen by the implementing partner, each year if the total expense incurred is equal or greater than US\$100,000. All other funds must be audited at least once within the programming cycle;⁴⁸ 72 percent of total national execution expenditures were required to be audited in 2009.⁴⁹ External audits of funds managed by

⁴⁶ The MI on "Procurement/contract management timely, efficient, and effective" was not assessed by the document review.

⁴⁷ UNFPA Financial Report and Audited Financial Statements for the Biennium ended 31 December 2007 from the Board of Auditors

<http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N08/417/68/PDF/N0841768.pdf?OpenElement>

⁴⁸ UNFPA Program Manual 2008 (Internal UNFPA document)

⁴⁹ UNFPA Internal Audit and Oversight Activities in 2008 <http://www.unfpa.org/exbrd/>

implementing partners are subject to review by the Board of Auditors. In the *Audited Financial Statements for the Biennium ended 31 December 2007*, the Board of Auditors expressed concern in relation to “unsatisfactory results reflected in audit reports furnished by auditors of nationally executed expenditures and shortcomings in the audit process relating to such expenditures”⁵⁰ – which raises doubts about the quality of the auditors chosen by the implementing partners.

MI: Guidelines for immediate measures against irregularities

UNFPA was rated as strong by direct partners for having appropriate policies or guidelines in place to follow up on financial irregularities and corruption, but as adequate by donors in-country (donors at headquarters were not asked this question). It was rated as very strong by the document review for having guidelines in place for immediate measures against irregularities identified at the country (or other) level.

The *UNFPA Oversight Policy* specifies that “management is responsible for ensuring that management responses are prepared for each specific internal and external audit recommendation and that management follows up on the status of the implementation on a regular basis.”⁵¹ A management response is provided for every report by the Board of Auditors and by the UNFPA Division of Oversight Services (DOS). UNFPA has made recent efforts to improve its tracking of the implementation of recommendations. In 2009, DOS and UNFPA management instituted a semi-annual follow-up and review system for audit recommendations, where the status of implementation is uploaded into an audit and recommendation database system (CARDS).⁵²

Follow-up to UNFPA implementation of the recommendations of the Board of Auditors is monitored by the Executive Board on a quarterly basis. The *Follow-Up to the Report of the United Nations Board of Auditors for 2006-2007: Status of Implementation of Recommendations* report, which was submitted to the UNFPA Executive Board in the First Regular Session 2010, states that as of 30 September 2009, UNFPA had implemented, or was in the process of implementing, 59 accepted recommendations of a total of 60 recommendations. The Executive Board “commended the clear and lucid UNFPA report and commitment to achieving a high overall implementation rate.”⁵³ The report presents the status of recommendation implementation and outlines the kinds of action taken, placing priority on high-risk recommendations. The expected timeline to implement audit recommendations, as outlined in the 2009 Annual Report, is 24 months. Target completion dates are set for each recommendation and are presented in the audit recommendation table, available on the Executive Board web page.

MI: Internal financial audit processes provide neutral information

UNFPA was rated as adequate or better by donors at headquarters (the only group asked this question) and the document review for this MI. Internal Audit activities are reported to UNFPA’s Executive Board, through its Executive Director, in the UNFPA Report on Internal Audit and Oversight Activities, where a letter from the Audit Advisory Committee confirms receipt of internal audit information. The neutrality of the internal audits is ensured through a review process where the Board of Auditors conducts management audits to corroborate the findings of internal auditors.

⁵⁰ Ibid

⁵¹ UNFPA Oversight Policy www.unfpa.org/monitoring/documents/oversight_policy.doc

⁵² UNFPA Internal Audit and Oversight Activities in 2008

⁵³ Executive Board Report of the First Regular Session 2010 <http://www.undp.org/execbrd/reports.shtml>

MI: Policy on anti-corruption

Direct partners and donors at headquarters rated UNFPA as strong for following up on policies or guidelines on financial management and anti-corruption; donors in-country rated it as adequate. The document review provided a rating of adequate in terms of having a policy on anti-corruption.

UNFPA has recently increased efforts to address corruption. Its 2009 Fraud Policy describes different forms of corruption, focusing primarily on fraud detection and prevention.⁵⁴ The policy outlines the roles and responsibilities of managers in detecting and preventing fraud, misappropriations, and other irregularities.

MI: Procurement/ contract management timely, efficient and effective

Survey respondents rated UNFPA overall as adequate on this MI. Donors in-country provided a rating of adequate while direct partners provided a rating of strong. This question was not asked of donors at headquarters and was not assessed by the document review.

MI: Strategies for risk management

Although survey respondents rated UNFPA as strong for implementing strategies and plans for risk management, the document review rated UNFPA as very weak in terms of having strategies in place for risk identification, mitigation, monitoring, and reporting. The differences in ratings may be due to the type of criteria assessed in the document review.

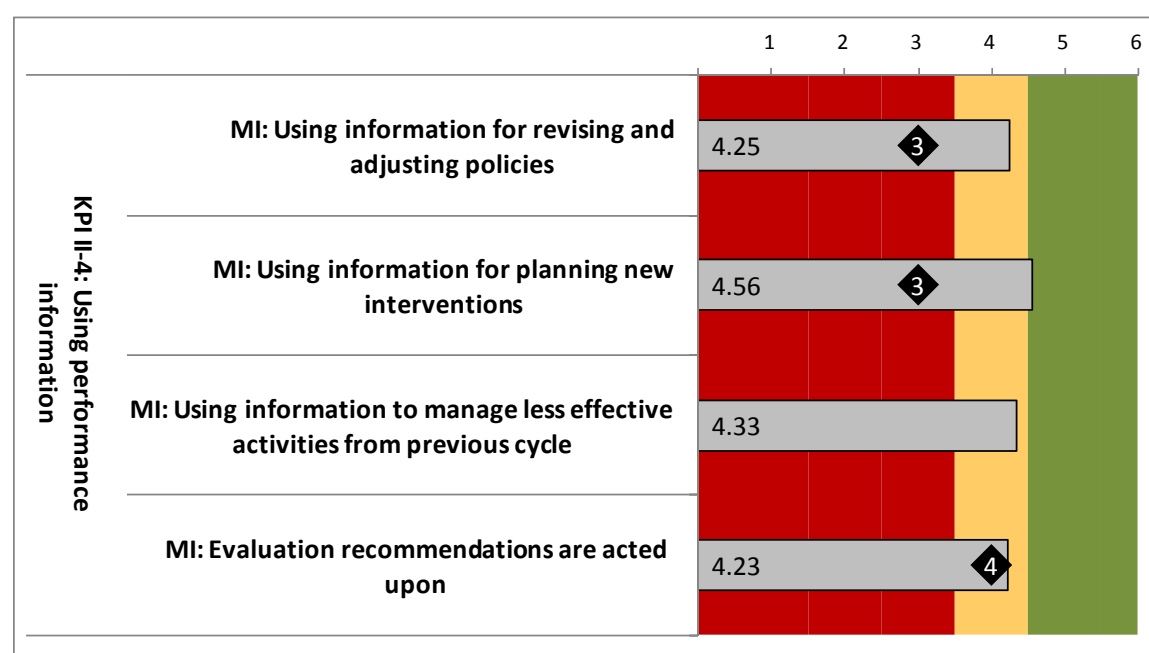
UNFPA does not yet have an organisation-wide risk management plan or policy. It introduced a risk model in 2005, which helps the Division of Oversight Service (DOS) decide on the priorities of the audit and oversight missions to be undertaken in a given year and to keep track of and report on the Fund's risks. However, the DOS believes, in accordance with International Organisation of Supreme Audit Institutions guidance, that the current model needs to be supplemented by enterprise risk management (ERM), a process that can help the organisation identify, evaluate, and manage significant risks at all organisational levels.⁵⁵ This recommendation has already been taken up by UNFPA management and an ERM strategy and policy are currently under development.

KPI II-4: Using Performance Information**Finding 8: Survey respondents rated UNFPA as adequate or better in its use of performance information while the document review rated it as inadequate.**

Overall, survey respondents rated UNFPA as adequate or better in all four MIs in this KPI. The document review, which considered three MIs, rated UNFPA as inadequate in two and adequate in one.

⁵⁴ UNFPA Fraud Policy 2009

⁵⁵ UNFPA Internal Audit and Oversight Activities in 2008 report <http://www.unfpa.org/exbrd/>

Figure 3.15 KPI II-4: Using Performance Information, Ratings of Micro-indicators⁵⁶

MI: Using information for revising and adjusting policies

This MI focused on UNFPA's use of performance information at the organisational level. Donors at headquarters, the only respondent group asked, considered UNFPA adequate on this MI. The document review rated UNFPA as inadequate.

Organisation-wide performance information is presented to UNFPA's Executive Board in the *Annual Report of the Executive Director*. However, in UNFPA's primary documents, there is no mention of how policies or strategies have been adjusted based on performance information in terms of progress towards meeting the organisation's development objectives. There are, however, references to how information on management practices has changed policies and strategies related to the organisation's operational activities. For instance, the 2009 Annual Report explains how in response to global staff survey findings, UNFPA drafted a new policy on rewards and recognitions.⁵⁷

MI: Using information for planning new interventions

This MI examined UNFPA's use of performance information at the country level. In the survey, direct partners rated the organisation as strong while donors in-country rated it as adequate (although 42 percent of donors in-country replied 'don't know'.) The document review found UNFPA's performance to be inadequate on this MI.

⁵⁶ The MI in "Using information to manage less effective activities from previous cycle" was not assessed by the document review.

⁵⁷ Report of the Executive Director for 2008: Progress in Implementing the Strategic Plan, 2008-2011. Paragraph 88

http://www.unfpa.org/exbrd/2009/2009_annual.html

Information on country performance is presented in Country Programme Documents, Country Programme Action Plans (CPAPs), and Country Programme Evaluations. Country Programme Documents and Actions Plans are presented to the Executive Board. However, only two of the five countries (Kenya and Afghanistan) in this year's sample of UNFPA country programmes had developed their Country Programme Documents (CPDs) during the current strategic plan cycle, which created a limitation in assessing UNFPA's current country-level activities.

The documents reviewed do not consistently reference changes that have been made to country-level programming based on prior performance. For example, among the documents of the five countries sampled for the MOPAN 2010 assessment:⁵⁸

- Only the CPAP for Zambia mentioned the impact of specific performance information on its planned programming. The others stated that their programming was generally influenced by previous performance information, but did not indicate in what way.
- The *Kenya Final Evaluation Report (Country Brief) 2004-2008* was the only evaluation that made a recommendation based on performance information (the establishment of community shelters for survivors of gender-based violence using existing community structures).⁵⁹

The *2010 Biennial Report on Evaluation* noted that evidence-based programming could be improved at the country level by using demonstrated evidence of effectiveness to support the choice of UNFPA intervention strategies and geographical sub regions.⁶⁰ UNFPA's management response stated that in order to ensure that evaluation results feed back into programming, "regional offices have been mandated to review and possibly refer back country program proposals that do not take into consideration evaluation results of a preceding program cycle."⁶¹ Additionally, UNFPA has committed to creating guidelines on evidence-based programming in 2010, in response to decision 2009/18.⁶² The application of these guidelines should support the use of performance information for country programming in the next few years, given that evaluations will now take place in the second to last year of the programming cycle, so that evaluation findings can inform the planning of subsequent country programs.⁶³

MI: Using information to manage less effective activities from previous cycle

Donors in-country and direct partners were asked about this MI. Direct partners rated UNFPA as strong and donors in-country rated it as adequate, but 72 percent replied 'don't know'. This MI was not addressed by the document review.

MI: Evaluation recommendations are acted upon

MOPAN members at headquarters, the only respondent group asked about this MI, perceived that UNFPA adequately tracks the implementation of evaluation recommendations reported to the Board. The document review rated UNFPA as adequate in ensuring that evaluation recommendations reported to the Executive Board are acted upon by the responsible units.

⁵⁸ Some of the documents reviewed predated the Strategic Plan, and may not be as representative of the approaches being used at this time.

⁵⁹ Kenya Final Evaluation Report (Country Brief) 2004-2008

⁶⁰ 2010 Biennial Report on Evaluation (paragraph 8)

⁶¹ UNFPA Management Response to the 2010 Biennial Report on Evaluation (paragraph 18)

⁶² Decisions Adopted by the Executive Board at its Annual Session 2010 page 14 paragraph 4

⁶³ Decisions Adopted by the Executive Board at its Annual Session 2010 page 14 paragraph 7

UNFPA reports to the Executive Board on the implementation status of evaluation recommendations in the *Periodic Report on Evaluation*. However, the implementation of country program evaluation recommendations remains low, with less than one-third of country offices reporting robust follow-up within one year.⁶⁴ Efforts to improve evaluation follow-up include the extension of the Comprehensive Assessment Recommendations Database System (CARDS) to include recommendations from centralised evaluations completed from 2009 onwards.

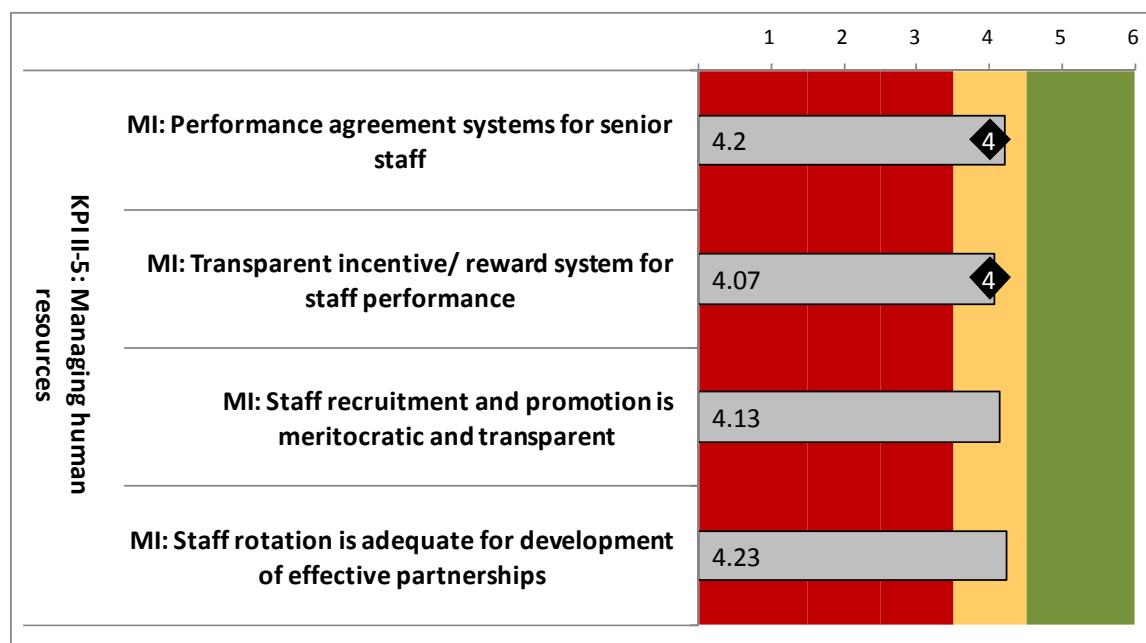
KPI II-5: Managing Human Resources

Finding 9: UNFPA's management of human resources was generally considered adequate by survey respondents and the document review.

Overall, survey respondents indicated that UNFPA is performing adequately in all four areas related to human resource management. However, 59 percent of donors at headquarters, who were asked to rate three MIs, responded 'don't know'.

The document review, which assessed two MIs, rated UNFPA as adequate.

Figure 3.16 KPI II-5: Managing Human Resources, Ratings of Micro-indicators⁶⁵



MI: Performance agreement systems for senior staff

Survey respondents (only donors at headquarters were asked this question) and the document review rated UNFPA as adequate for using results-focused performance assessment systems for senior staff..

⁶⁴ UNFPA 2008 Periodic Report on Evaluation, paragraph 35

⁶⁵ The MI "Staff recruitment and promotion is meritocratic and transparent" and the MI on "Staff rotation is adequate for development of effective partnerships" were not assessed by the document review.

UNFPA's performance appraisal and development (PAD) system was introduced in 2004. The PAD system consists of three parts: 1) workplan outputs (including indicators, activities and time frame) defined between a supervisor and staff member at a specific meeting; (2) an assessment of competency proficiency; and (3) a plan of developmental activities (which includes learning and other activities).⁶⁶ The UNFPA *Accountability Framework* states that the PAD system holds managers and staff accountable for outputs and for linking outputs to outcomes and for the achievement of performance standards defined in the competency framework.⁶⁷ The review of these documents suggests that they provide an adequate framework for the performance-oriented management of human resources in the organisation. In the future, a specific review of the PAD system may be useful in understanding how well it has been operationalised.

MI: Transparent incentive / reward system for staff performance

The survey (donors at headquarters) rated UNFPA as adequate for using a transparent system to manage staff performance.

The document review also rated it as adequate for having a transparent incentive and reward system for staff performance. UNFPA has recently introduced a policy on Recognition and Rewards as part of its Personnel Policies that proposes both informal and formal mechanisms for recognising and rewarding staff who have good performance. This is seen as a positive step in UNFPA, while recognising that the UN system has limitations in using rewards systems for staff performance, particularly in linking payment to performance. There is a UN pay and benefit reform process underway that concerns performance-related pay, which may facilitate additional organisational reforms in this area of human resource management.

MI: Staff recruitment and promotion is meritocratic and transparent

Donors at headquarters, the only respondent group to be asked, rated UNFPA as adequate on this MI. This MI was not part of the document review.

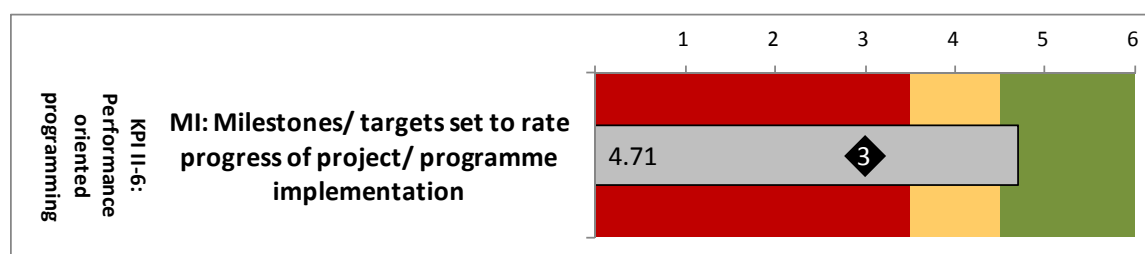
MI: Staff rotation is adequate for development of effective partnerships

Overall, country level survey respondents rated UNFPA as adequate on this MI. Direct partners rated UNFPA as strong and donors in-country gave a rating of adequate (but 39 percent of donors in-country answered 'don't know'). This MI was not part of the document review.

KPI II-6: Performance Oriented Programming

Finding 10: Although country level respondents rated UNFPA as strong for setting targets to measure project/program implementation, the document review found that Country Programme Action Plans were inconsistent in setting targets.

Figure 3.17 KPI II-6: Performance-oriented Programming, Ratings of Micro-indicators



⁶⁶ UNFPA Accountability Framework: www.unfpa.org/exbrd/2007/secondsession/dpfpa_2007_20.doc

⁶⁷ UNFPA Accountability Framework: www.unfpa.org/exbrd/2007/secondsession/dpfpa_2007_20.doc

MI: Milestones/targets set to rate progress of project/program implementation

In the survey, only country-level respondents were asked about this MI. Direct partners gave a rating of strong and donors in-country a rating of adequate (however, 39 percent of donors in-country answered 'don't know').

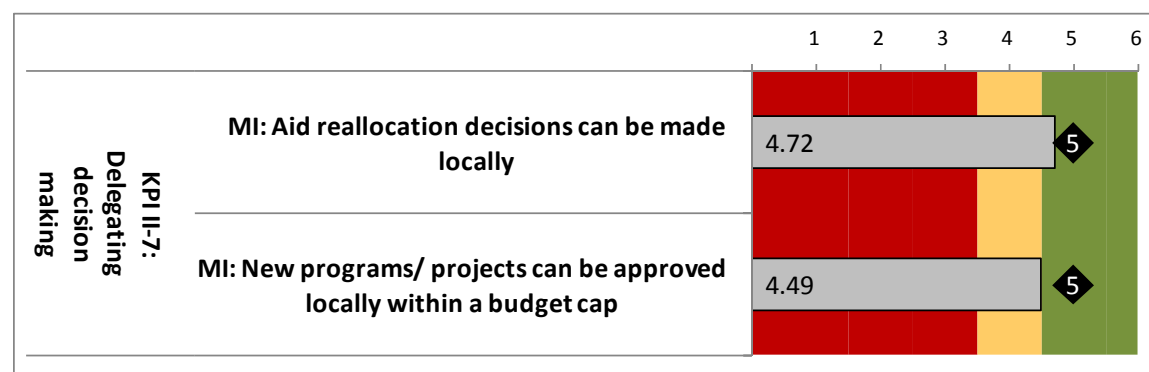
The document review rated UNFPA as inadequate on this MI, based on the review of CPAPs.

The *UNFPA Program Manual* stipulates that all CPAPs must include targets in their results frameworks to rate progress of program implementation. However, a review of country-level documents indicated that the use of targets for country-level programming varied across programs. For instance, the CPAP for Kenya included baseline indicators and targets for all of its expected outcomes, and targets were aligned with program activities and expected to be completed within a specified timeframe. This is in contrast with the CPAP for Zambia, where some outputs were missing targets, and the CPAP for Afghanistan, which did not include any targets. The *2010 Biennial Report on Evaluation* states that "with regard to monitoring and evaluation, country programs deemed partially satisfactory or unsatisfactory usually lack indicators, and indicators lack baseline data and/or target and means of verifying progress."⁶⁸

KPI II-7: Delegating Decision Making

Finding 11: On the indicators related to delegating decision making to the country level, UNFPA received ratings of adequate or strong from both survey respondents and the document review.

Figure 3.18 KPI II-7: Delegating Decision Making, Ratings of Micro-Indicators



MI: Aid reallocation decisions can be made locally

UNFPA was rated as strong overall by survey respondents for having project/program tasks managed at a country level. Direct partners rated UNFPA as strong on this MI, and donors in-country rated it as adequate (although 44 percent of donors in-country answered 'don't know'). The differences in ratings were not statistically significant.⁶⁹ The document review also gave UNFPA a rating of strong for ensuring that aid reallocation decisions can be made locally.

⁶⁸ UNFPA Accountability Framework: www.unfpa.org/exbrd/2007/secondsession/dpfpa_2007_20.doc (paragraph 10)

⁶⁹ Mann-Whitney U test on weighted data, $\alpha = 0.05$

MI: New programs/projects can be approved locally within a budget cap

This MI was rated as adequate by survey respondents (although 68 percent of donors in-country and 39 percent of direct partners answered 'don't know') for ensuring that UNFPA can approve funding for new areas of cooperation locally, within a budget cap. This MI was rated as strong by the document review.

The *UNFPA Program Manual* states that UNFPA country representatives have the autonomy to adjust or propose new activities through their Annual Work Plans (AWPs) within their country program budget cap, based on the recommendations of the annual UNDAF review.⁷⁰

This is in alignment with UNFPA's recent efforts to restructure and move its presence from headquarters to become closer to the field. Currently, of the total staff of UNFPA, 17 percent are at headquarters, 10 percent are at regional offices, and 73 percent are in country offices.⁷¹ The Audit Advisory Committee (AAC) stated in the *UNFPA Internal Audit and Oversight activities in 2009* report that it has noted "UNFPA progress in realising its reorganisation, intended in part to support a more field-focused and results-oriented UNFPA." The DOS is proposing to conduct an audit of the restructuring process in 2011.⁷² This being said, the *UNFPA Internal Audit and Oversight activities in 2009* also noted that operational staff had expressed concerns and requested clarity with regard to roles and responsibilities among headquarters, regional, sub regional, and country offices.

3.3.4 Relationship Management

In Quadrant III: Relationship Management, 15 MIs were rated in the survey. UNFPA's performance in relationship management was not assessed by the document review due to lack of information for assessing the indicators that were drawn from the Paris Declaration on Aid Effectiveness.⁷³

Figure 3.19 below shows the overall survey ratings for the five KPIs in the relationship management quadrant. Figure 3.20 shows the mean scores for the five KPIs for all survey respondents, and by respondent groups.

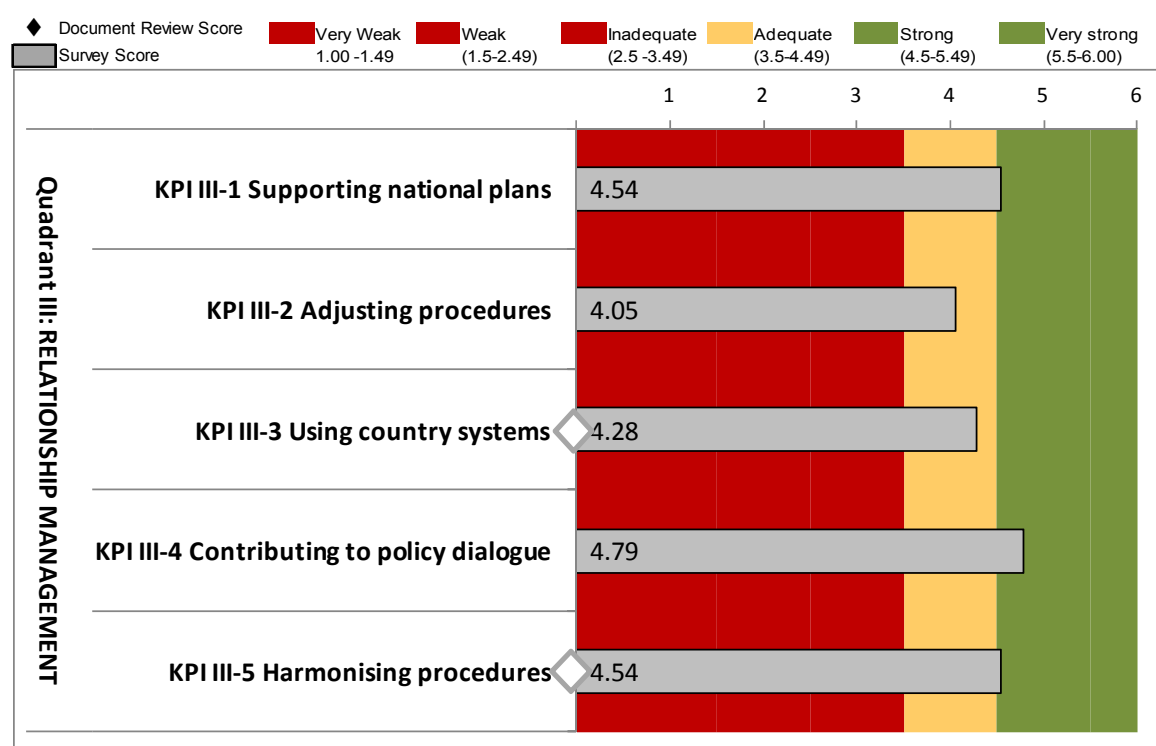
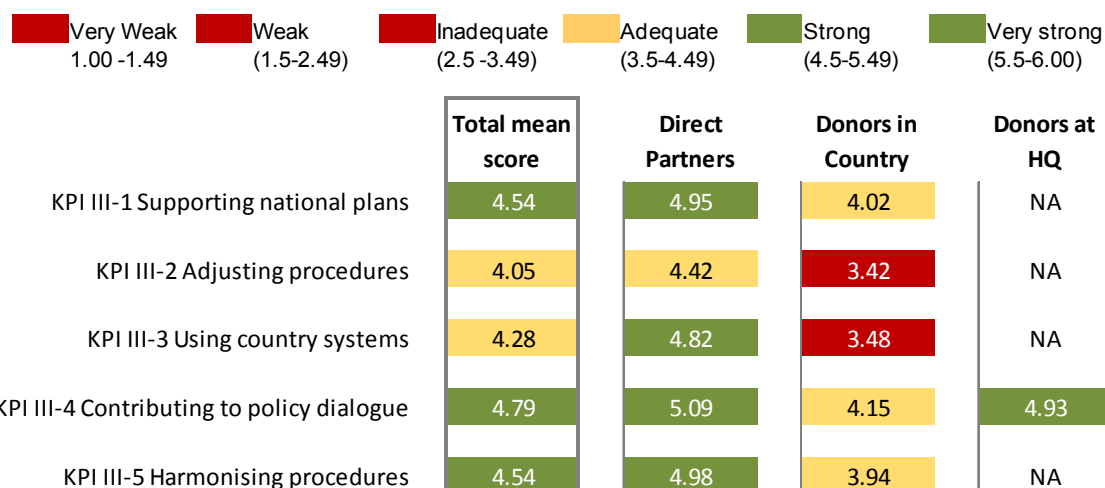
The mean scores of survey respondents indicate that UNFPA is perceived to perform adequately in two and strong in three of the five KPIs of relationship management. Direct partners and donors at headquarters rated UNFPA more positively than donors in-country for all of the MIs.

⁷⁰ Country Program Manual 2008

⁷¹ UNFPA Internal Audit and Oversight Activities in 2009

⁷² UNFPA Internal Audit and Oversight Activities in 2009

⁷³ The data from the *2008 Survey on Monitoring the Paris Declaration*⁷³ was not available for the UNFPA.

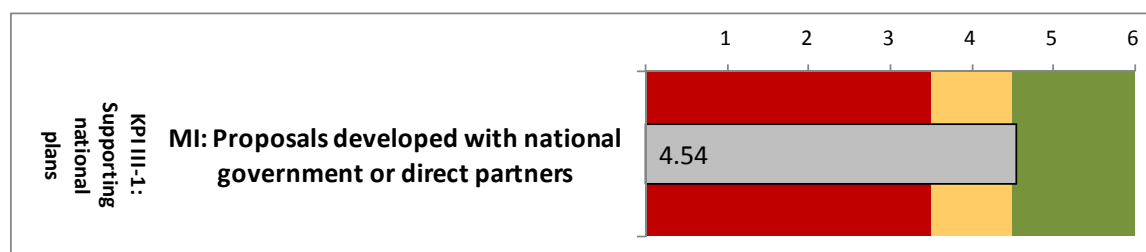
Figure 3.19 Quadrant III: Relationship Management – Survey Ratings⁷⁴**Figure 3.20 Relationship Management Performance, Mean Scores by Respondent Group**

⁷⁴ In Relationship Management, the KPIs “Using country systems” and “Harmonising procedures” could not be assessed by the document review because the UNFPA data from the 2008 Survey on Monitoring the Paris Declaration was not available. All other KPIs that do not have a document review rating were not included as part of the document review assessment in 2010.

KPI III-1: Supporting National Plans

Finding 12: UNFPA was perceived by direct partners and MOPAN members to be strong in its support of national plans due to its approach to developing funding proposals in collaboration with direct partners.

Figure 3.21 KPI III-1: Supporting National Plans, Ratings of Micro-indicators



MI: Proposals developed with national government or direct partners

Donors at country offices rated UNFPA as adequate for supporting funding proposals designed and developed by the national government or direct partners, while direct partners rated it as strong.

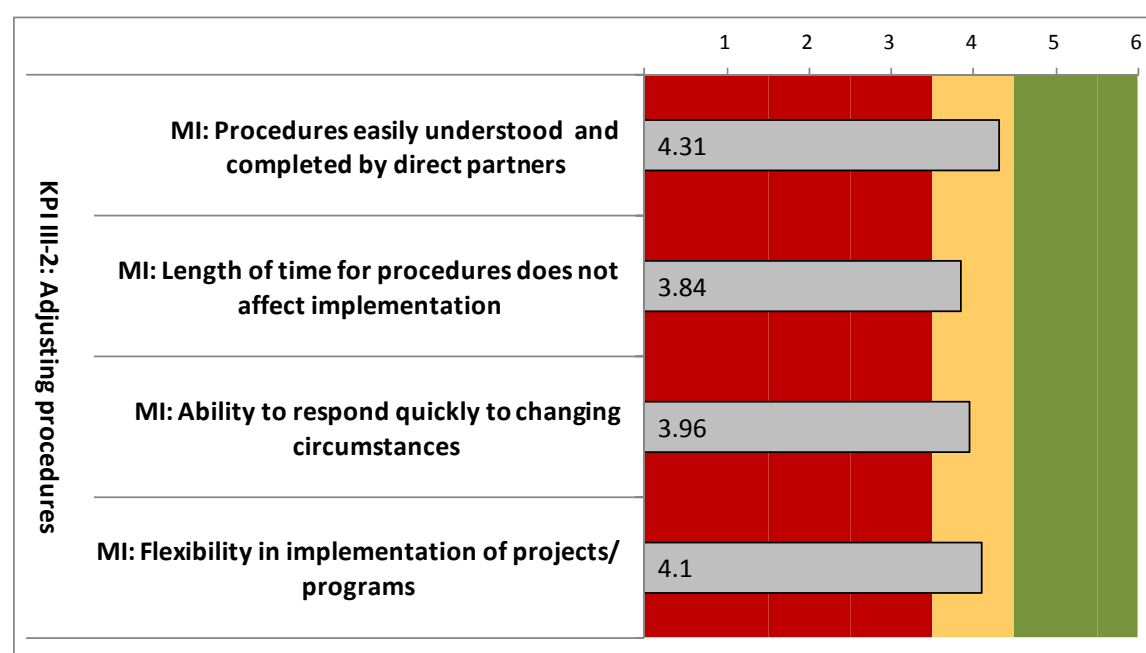
In the 2008 MOPAN Survey, MOPAN members were also asked about the extent to which UNFPA supported government proposals. While it was rated positively overall for providing effective support to national development strategies, the results were not consistent – in some countries UNFPA was considered to support projects/programs designed by government, and in others it was considered to design its own projects.

KPI III-2: Adjusting Procedures

Finding 13: UNFPA was rated as adequate or better for having procedures that are easily understood by partners, but MOPAN members in-country believe that UNFPA could shorten the length of time needed to complete procedures and improve its ability to respond more quickly and flexibly to change.

UNFPA was rated as adequate overall on the four MIs in this KPI. However, while direct partners rated this KPI overall as adequate, donors in-country rated it as inadequate (48 percent of respondents answered 'don't know').

Figure 3.22 KPI III-2: Adjusting Procedures, Ratings of Micro-indicators



MI: Procedures easily understood and completed by direct partners

UNFPA was rated as adequate on this MI by donors in-country and strong by direct partners.

MI: Length of time for procedures does not affect implementation

Although this MI received an overall score of adequate, direct partners considered UNFPA to perform adequately, while donors in-country considered it to perform inadequately.

MI: Ability to respond quickly to changing circumstances

Although this MI received an overall score of adequate, direct partners considered UNFPA to perform adequately, while donors in-country rated UNFPA as inadequate in this area.

MI: Flexibility in implementation of projects/programs

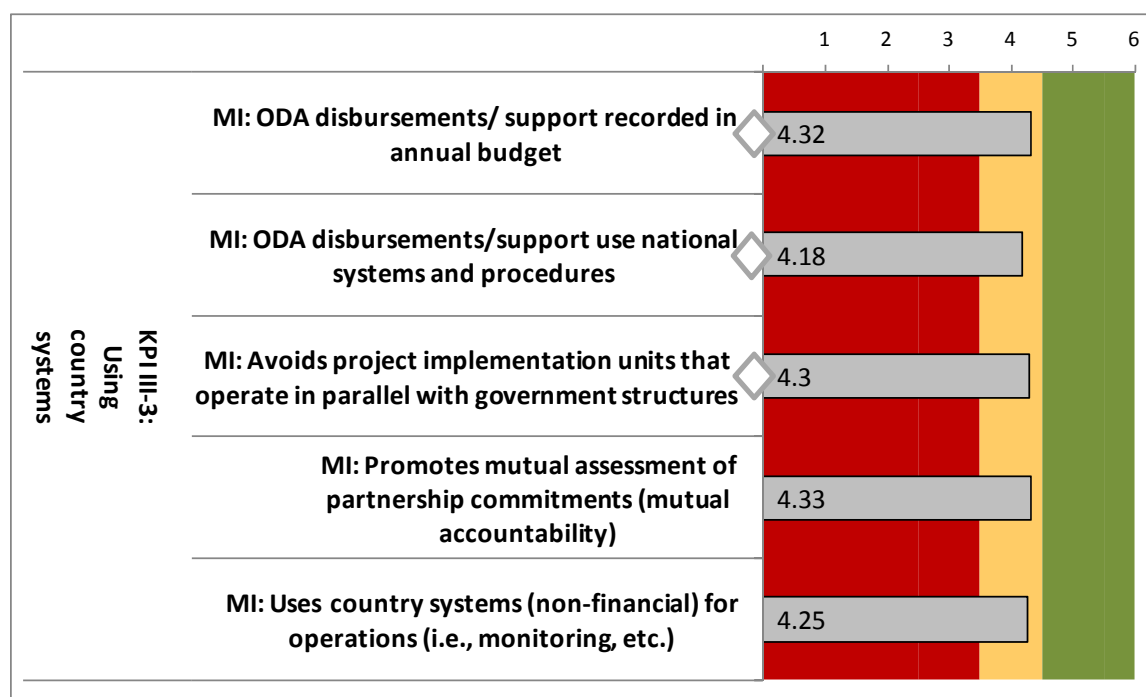
Although this MI received an overall score of adequate, direct partners considered UNFPA to perform strongly in flexibly adjusting its implementation of individual projects and programs as learning occurs, while donors in-country perceived UNFPA's performance in this area to be inadequate.

KPI III-3: Using Country Systems

Finding 14: MOPAN members in-country and direct partners had different perceptions of UNFPA's use of country systems. While donors provided ratings of inadequate on several indicators, direct partners provided ratings of strong.

Donors in-country and direct partners were asked to rate UNFPA on the five MIs in this KPI (donors at headquarters were not surveyed on this KPI). Direct partners perceived UNFPA to perform strongly on all of the MIs in this KPI, while MOPAN members in country offices perceived it to be inadequate in three out of the five micro-indicators.

There was a high level of 'don't know' responses among both donors in-country and direct partners. More than half of the donor respondents answered 'don't know' to all of the questions related to the organisation's use of country systems.

Figure 3.23 KPI III-3: Using Country Systems, Ratings of Micro-indicators⁷⁵**MI: ODA disbursements/support recorded in annual budget**

Direct partners rated this MI as strong, and donors at country offices rated UNFPA as adequate.

MI: ODA disbursements/support use national systems and procedures

Direct partners rated this MI as strong, but donors at country offices rated UNFPA as inadequate on its use of national procurement, audit and financial reporting systems. As noted in Finding 7, the review of documents indicates that UNFPA uses a national execution (NEX) system for country-level audits where UNFPA's implementing partners manage the audit process, therefore supporting the use of national systems and procedures in its auditing practices.⁷⁶

MI: Avoids project implementation units that operate in parallel with government structures

Direct partners rated this MI as strong, but donors at country offices rated UNFPA as inadequate.

MI: Promotes mutual assessment of partnership commitments (mutual accountability)

Direct partners rated UNFPA as strong for encouraging mutual accountability assessment of Paris Declaration and Accra Agenda for Action commitments, while donors at country offices rated UNFPA as adequate in this area.

⁷⁵ The MI on "ODA disbursements/support recorded in annual budget", "ODA disbursement/support using national systems and procedures," "Use country systems and procedures," and "Avoids PIU that operate in parallel" could not be assessed by the document review because the UNFPA data from the 2008 Survey on Monitoring the Paris Declaration was not available.

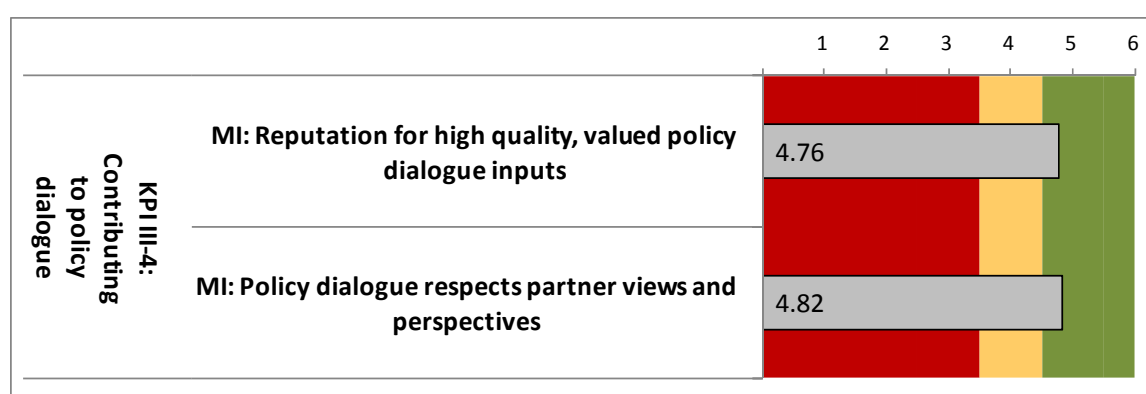
⁷⁶ UNFPA Internal Audit and Oversight Activities in 2008
http://www.unfpa.org/exbrd/2009/2009_annual.html

MI: Uses country systems (non-financial) for operations (i.e., monitoring, etc.)

Direct partners rated UNFPA as strong for using country systems (non-financial) as a first option for operations, while donors at country offices rated UNFPA as inadequate.

KPI III-4: Contributing to Policy Dialogue**Finding 15: UNFPA was rated as strong in adding value to policy dialogue with its partners.**

Overall, survey respondents rated UNFPA as strong on the two MIs in this KPI. The results on these two micro-indicators are generally in line with the perceptions of MOPAN members in the 2008 MOPAN survey, where they also gave positive views on UNFPA contributions to policy dialogue with government.

Figure 3.24 KPI III-4: Contributing to Policy Dialogue, Ratings of Micro-indicators**MI: Reputation for high quality, valued policy dialogue inputs**

All respondent groups were asked about whether UNFPA has a reputation for high quality, valued policy dialogue inputs. Donors in country offices rated UNFPA's performance as adequate while direct partners and donors at headquarters rated it as strong. These differences in opinion, however, are not statistically significant.⁷⁷ Direct partners demonstrated a high level of familiarity with this issue, but 37 percent of donors at headquarters and 31 percent of donors in-country answered 'don't know'.

MI: Policy dialogue respects partner views and perspectives

All respondent groups were asked about whether policy dialogue respects partner views and perspectives. Donors in country offices rated UNFPA's performance as adequate while direct partners and donors at headquarters rated it as strong. These differences in opinion are not statistically significant.⁷⁸ Direct partners demonstrated the highest level of familiarity with this issue, but 37 percent of donors at both headquarters and in-country answered 'don't know'.

⁷⁷ Kruskal-Wallis test on weighted data, $\alpha = 0.05$

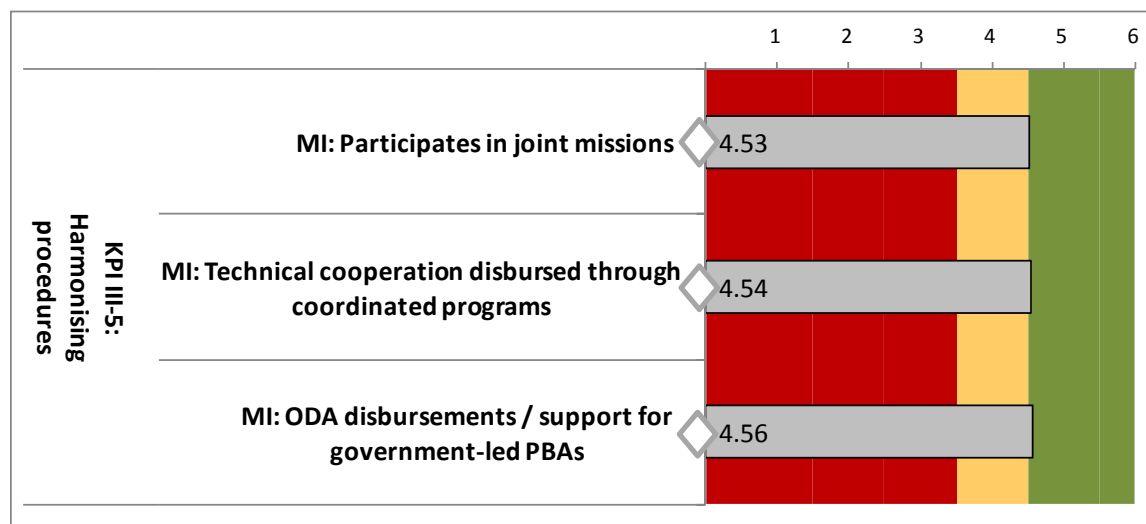
⁷⁸ Kruskal-Wallis test on weighted data, $\alpha = 0.05$

KPI III-5: Harmonising Procedures

Finding 16: In harmonising arrangements and procedures with other programming partners, UNFPA was rated as strong by direct partners and adequate by donors in country offices.

Overall, survey respondents rated UNFPA as strong on the three MIs in this KPI. Direct partners rated it as strong and donors in-country rated it as adequate (although 34 percent of donors in-country answered 'don't know'). The 2008 MOPAN survey found UNFPA to be comparatively strong overall in inter-agency coordination and harmonisation with the UN.

Figure 3.25 KPI III-5: Harmonising Procedures, Ratings of Micro-indicators⁷⁹



MI: Participates in joint missions

Donors in country offices rated UNFPA as adequate while direct partners rated it as strong for its participation in joint missions. Donors at headquarters were not asked this question.

MI: Technical cooperation disbursed through coordinated programs

When asked about whether UNFPA's technical assistance is provided through coordinated programs in support of capacity development, 89 percent of country-level respondents gave UNFPA a favourable assessment. Donors in country offices rated UNFPA as adequate while direct partners rated it as strong. Donors at headquarters were not asked this question. According to documentation, UNFPA is heavily involved in joint programming (with over 200 joint programs).⁸⁰

MI: ODA disbursements/support for government-led program-based approaches (PBAs)

UNFPA was rated as adequate by donors in-country and as strong by direct partners regarding its support for government-led PBAs (other than through budget support). Donors at headquarters were not asked this question.

⁷⁹ The MI on "Technical cooperation disbursed through coordinated programs" and the MI on "ODA disbursements/support for government-led PBAs" could not be assessed by the document review because the UNFPA data from the 2008 Survey on Monitoring the Paris Declaration was not available.

⁸⁰ UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan. (Table 17)

UNFPA has been increasing its involvement in SWAPs by gradually moving from a focus on projects to policy formulation. In fact, UNFPA is recognised for organising numerous workshops and developing a resource document on SWAPs, based on experiences in the field. In the 2008 MOPAN Survey, MOPAN members already noted this shift in UNFPA's aid modality approach.

3.3.5 Knowledge Management

In Quadrant IV: Knowledge Management, seven MIs were rated in the survey and nine in the document review. These are discussed below.

Figure 3.26 below shows the overall survey and document review ratings for the three KPIs in the knowledge management quadrant. Figure 3.27 shows the mean scores for the three KPIs for all survey respondents, and by respondent groups

Overall, survey respondents rated UNFPA as adequate in the three KPIs related to knowledge management. The document review found UNFPA to be adequate in monitoring external results, inadequate in reporting on performance information, and weak in reporting on lessons learned.

Figure 3.26 Quadrant IV: Knowledge Management – Survey and Document Review Ratings

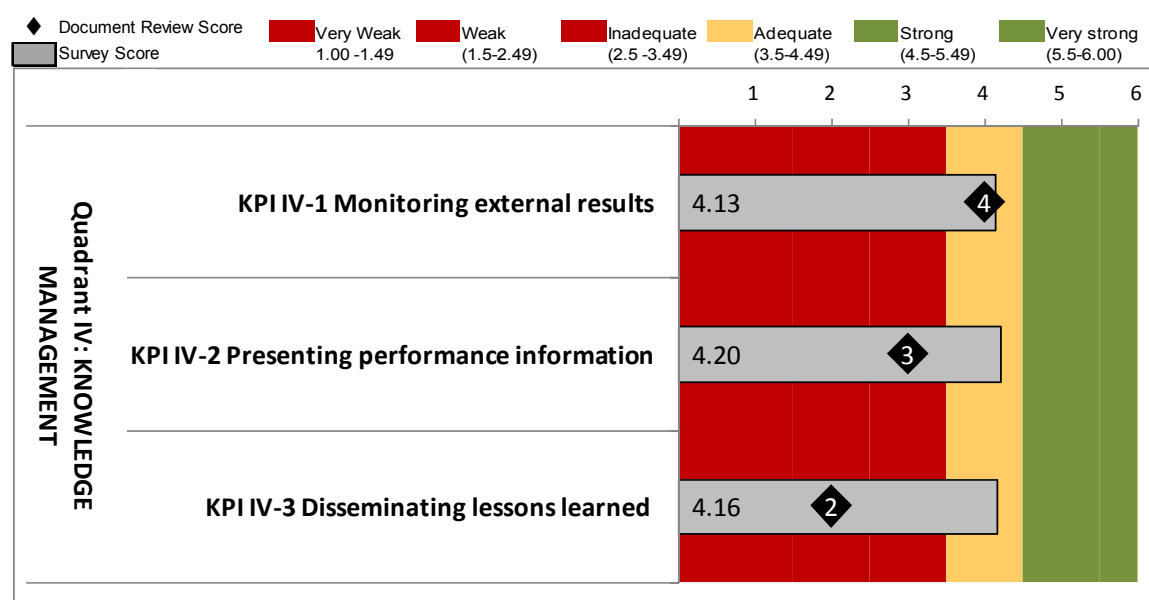


Figure 3.27 Knowledge Management Performance, Mean Scores by Respondent Group

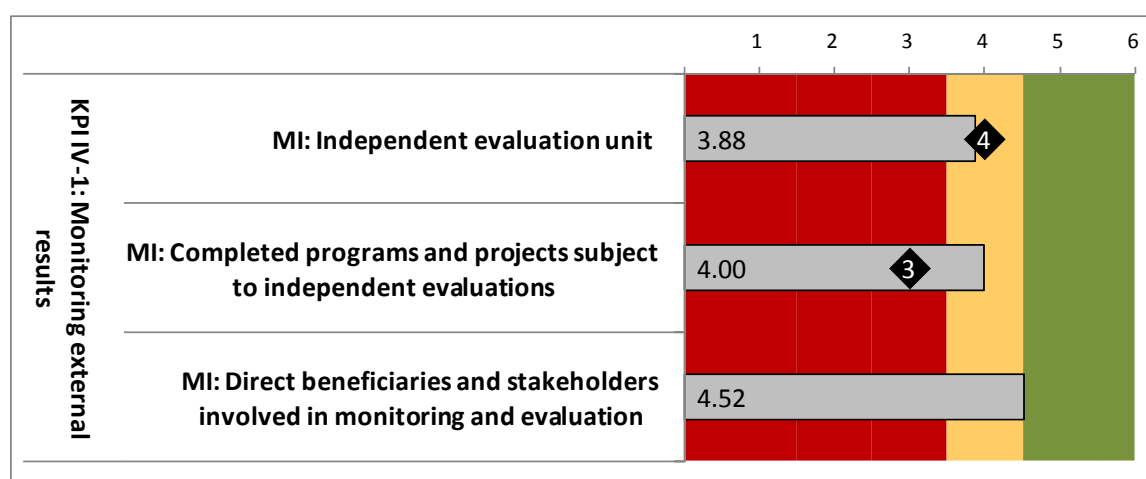
	Very Weak 1.00 -1.49	Weak (1.5-2.49)	Inadequate (2.5 -3.49)	Adequate (3.5-4.49)	Strong (4.5-5.49)	Very strong (5.5-6.00)
Total mean score						
KPI IV-1: Monitoring external results				4.13		
KPI IV-2: Presenting performance information				4.20		
KPI IV-3: Disseminating lessons learned				4.16		
Direct Partners						
				5.01		
Donors in Country						
				3.79		
Donors at HQ						
				4.20		
				4.16		

KPI IV-1: Monitoring External Results

Finding 17: UNFPA was considered by survey respondents to be adequate on the indicators related to monitoring external results. The document review found room for improvement in ensuring that completed programs and projects are subject to independent evaluations.

The UNFPA has been making concerted efforts to improve its monitoring and evaluation. The UNFPA Evaluation Policy was approved in 2009. Since then, UNFPA has launched an evaluations database where all evaluations received through the evaluation quality assessment process are stored and made available to the public.⁸¹ Additionally, it has established and staffed regional monitoring and evaluation posts in all UNFPA regional offices, and has appointed monitoring and evaluation focal points in a number of country offices. As many of these initiatives are on going, the assessment findings indicate that there are still some areas for improvement.

Figure 3.28 KPI IV-1: Monitoring External Results, Ratings of Micro-indicators⁸²



MI: Independent evaluation unit

MOPAN members at headquarters, the only respondent group asked, rated UNFPA as adequate for having an independent evaluation unit that reports directly to the Board or Governing Council; 30 percent answered 'don't know' on this question.

UNFPA was rated as adequate by the document review for having a structurally independent evaluation unit that reports to its Executive Management or Board. United Nations Evaluation Group (UNEG) norms and guidelines for evaluation in the UN system stipulate that the evaluation function must be located independently from other management functions.⁸³ In UNFPA, it is the Division for Oversight Services (DOS) that conducts independent evaluations and oversees evaluations, including monitoring and assessing the quality of decentralised evaluations. (The decentralised evaluations make up an important proportion of all of UNFPA's evaluation work.) Its location within an oversight body separates it from program management.⁸⁴ Recent efforts to demonstrate this separation can be seen through the presentation of the 2010 Biennial Report on Evaluation to the Executive Board, which was

⁸¹ However, the collection of evaluations remains a challenge. See page 45 for details.

UNFPA Evaluation Database: web2.unfpa.org/public/about/oversight/evaluations/

⁸² The MI "Direct beneficiaries and stakeholders involved in monitoring and evaluation" was not assessed by the document review.

presented directly by the Director of the Division for Oversight Services, rather than through the UNFPA Executive Director. Additionally, UNFPA publishes a separate management response to address issues raised in the report.

MI: Completed programs and projects subject to independent evaluations

MOPAN members at headquarters perceived UNFPA to be adequate in ensuring that a sufficient proportion of completed programs/projects are subject to independent evaluation. The document review rated it as inadequate.

The 2009 Evaluation Policy requires evaluations to be conducted for every country, regional, and global program⁸⁵ and indicates that evaluation costs are included in respective program budgets. However, the policy does not specify how many evaluations will occur within a given time frame, the parameters for selecting the evaluations, or what percentage of the program budgets will be required to conduct the evaluations. Additionally, the *2010 Biennial Report on Evaluation* highlights challenges in ensuring that all programs are evaluated: “in the absence of the systematic recording of evaluations by management, the Division for Oversight Services is unable to provide assurance on the number of evaluations completed in UNFPA.”⁸⁶ Only 57 of the 197 evaluations reported were submitted to the DOS during the preparation of the Evaluation Quality Assessment report.⁸⁷

As noted above, UNFPA has a large amount of decentralised evaluation activity. In contrast with many other UN organisations, UNFPA has evaluation resources throughout the organisation rather than in one organisational unit.⁸⁸ However, the 2010 Biennial Report on Evaluation raised some concerns about the decentralisation of the evaluation function and whether or not UNFPA staff has the necessary experience to ensure the independence of evaluations.⁸⁹

MI: Direct beneficiaries and stakeholders involved in monitoring and evaluation

Only donors from country offices and direct partners were asked about this MI. Direct partners provided a rating of strong (87 percent); donors in-country provided a rating of adequate (but 37 percent answered ‘don’t know’).

⁸³ UNEG Norms for Evaluation in the UN System (2005) and UNEG Standards for Evaluation in the UN System(2005)

⁸⁴ The review of documents can not ascertain the extent to which the function is truly independent.

⁸⁵ UNFPA Evaluation Policy 2009

⁸⁶ 2010 Biennial Report on Evaluation (paragraph 31)

⁸⁷ The 2010 Biennial Report on Evaluation (paragraph 30) explains that the “UNFPA requested all country offices, regional offices, and headquarters units to submit evaluations completed during 2007-2008, as part of the evaluation quality assessment process. For the period 2007-2008, the Division for Oversight Services received 57 evaluations completed by UNFPA country offices, a significantly lower number than the 197 evaluations reported by country offices for the same period...the Division of Oversight Services received no submissions from regional offices or headquarters units, whereas the former reported having completed four and the latter 11 for the same period.”

⁸⁸ Biennial Report on Evaluation 2010 (paragraph 25)

⁸⁹ The report states: “based on the evaluation policy, UNFPA would have adequate staff to conduct evaluations if all such staff had sufficient expertise. This is a critical point for the debate on independence. The quality of design, methodologies, implementation, and conduct of evaluations is a prerequisite for independence, an area that needs greater attention by UNFPA,”

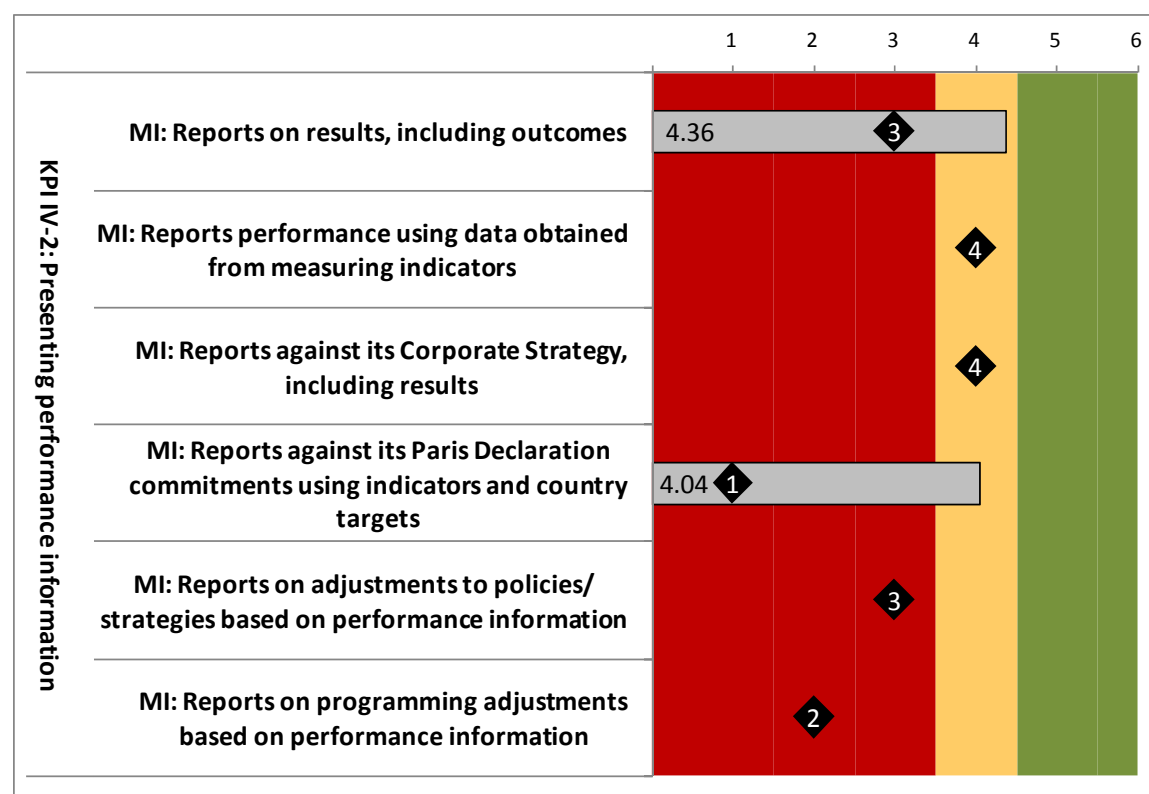
Other evidence, however, suggests that engagement may not be as consistent in all programming countries. In its *2010 Biennial Report on Evaluation*, the UNFPA acknowledged that active participation of actors at the country or community level is crucial for effective evaluation.⁹⁰ The report found that evaluations conducted between 2008 and February 2010 were conducted with little or no participation of implementing partners and beneficiaries.⁹¹

KPI IV-2: Presenting Performance Information

Finding 18: UNFPA was rated as adequate by donors at headquarters and inadequate by the document review for presenting performance information on its development effectiveness.

The document review, which assessed all six MIs in this KPI, rated UNFPA as inadequate overall. Survey respondents rated UNFPA as adequate on the two MIs that they were asked to assess (the survey questions were addressed only to MOPAN members at headquarters). However, 35 percent answered ‘don’t know’ concerning UNFPA’s reporting practices against its Paris Declaration commitments.

Figure 3.29 KPI IV -2: Presenting Performance Information, Ratings of Micro-indicators⁹²



⁹⁰ 2010 Biennial Report on Evaluation (paragraph 4)

⁹¹ Ibid (paragraph 22)

⁹² The MIs “Reports performance using data obtained from measuring indicators”; “Reports against its Corporate Strategy, including results”; “Reports on adjustments to policies/strategies based on performance information”; and “Reports on programming adjustments based on performance information” were not included in the 2010 MOPAN survey for UNFPA.

MI: Reports on results, including outcomes

Survey respondents rated UNFPA as adequate for reporting to the governing body on performance, including progress against targets set in corporate strategies. The document review rated it as inadequate for reporting on the achievement of outcomes, not just inputs, activities, and outputs.

UNFPA reports to the Executive Board on its performance on an annual basis in the *Annual Report of the Executive Director*.⁹³ This document provides a report against the outcomes and outputs identified in the *UNFPA Strategic Plan 2008-2011* and measures the progress of the outcome indicators. However, a limitation in the report is that it is unable to provide sufficient evidence for UNFPA's contribution to outcomes achieved.⁹⁴ This is partly the result of poorly defined results statements, as explained in Finding 5. Without properly defined outputs and clear linkages to outcomes (with their respective indicators), sufficient evidence of contribution towards outcomes achieved can not be presented.

MI: Reports on performance using data obtained from measuring indicators

The document review rated UNFPA as adequate on this MI. Survey respondents were not asked about this area. The 2009 Annual Report presents performance information structured by outcome, and an appendix to the Annual Report entitled *Strategic Plan Development Results Framework: 2009 Indicator Update*, presents progress towards results targets in comparison to baseline indicators.

MI: Reports against its Corporate Strategy, including results

UNFPA was rated as adequate in the document review for reporting against its Corporate Strategy, including expected management and development results. UNFPA presented performance information by DRF and MRF outcomes in its 2009 Annual Report.

MI: Reports against its Paris Declaration commitments using indicators and country targets

UNFPA was rated as adequate by survey respondents for reporting to the governing body on performance in relation to its Paris Declaration commitments. It was rated as very weak in the document review for reporting against its Paris Declaration commitments using indicators and country targets.

Although there is some reporting of UNFPA progress towards meeting its Paris Declaration commitments in documents such as the *Guidance note on UNFPA's Role in a Changing Aid Environment: From Policy to Practice, 2010* and *The Evaluation of the UNDG Contribution to the Implementation of the Paris Declaration on Aid Effectiveness*, this is not done through an organisation-wide report on a regular basis, nor does it use the Paris Declaration indicators and country targets. However, UNFPA is not a direct signatory of the Paris Declaration and it is not clear that the Executive Board has requested such reporting from the organisation.

⁹³ UNFPA Annual Report of the Executive Director for 2009: Progress and Achievements in Implementing the UNFPA Strategic Plan http://www.unfpa.org/exbrd/2010/2010_annual.html

⁹⁴ Although the review team acknowledges the fact that UNFPA programming occurs at the output level, good quality reporting needs to provide a plausible link between the outputs achieved and their contribution towards desired outcomes.

MI: Reports on adjustments to policies/strategies based on performance information

UNFPA was rated as inadequate by the document review for reporting on adjustments made or recommended to the organisation-wide policies and strategies based on performance information. Survey respondents were not asked this question. In the organisation-wide documents that are submitted to the Executive Board, there is no mention of how policies or strategies have been adjusted based on performance information on the results of its programming. As noted in finding 8, however, there are references to how information on management practices has changed policies and strategies related to the organisation's operational activities.⁹⁵

MI: Reports on programming adjustments based on performance information

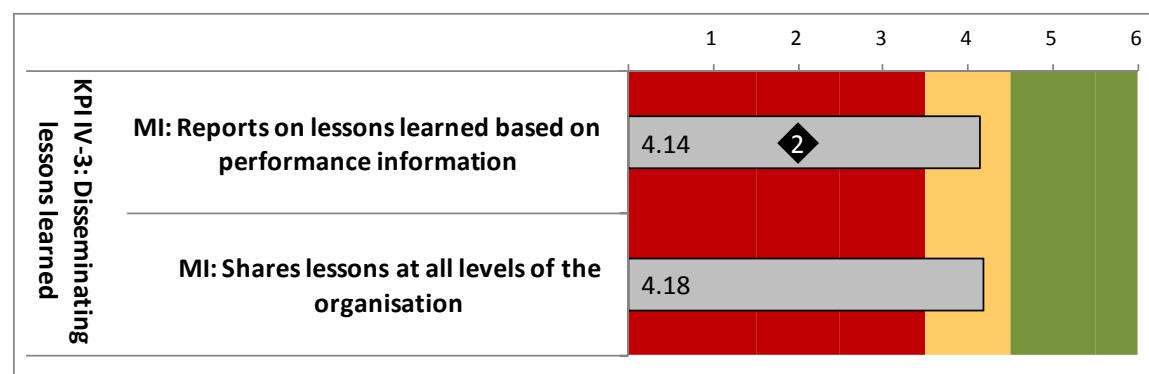
UNFPA was rated as weak by the document review for reporting on country (or other level) programming adjustments made or recommended based on performance information. Survey respondents were not asked this question.

UNFPA reports to the Executive Board on its country performance through *Country Programme Performance Summaries*. However, between 2007 and 2010, UNFPA submitted a Country Programme Performance Summary for only one of the countries sampled for document review in the MOPAN assessment, namely Afghanistan.⁹⁶ In the Performance Summary for Afghanistan, there was no mention of the implications of previous performance information on planning new initiatives.

KPI IV-3: Disseminating Lessons Learned

Finding 19: In disseminating lessons learned, UNFPA was rated as adequate by members at headquarters, but as weak by the document review.

Figure 3.30 KPI IV-3: Disseminating Lessons Learned, Ratings of Micro-indicators⁹⁷



⁹⁵ 2009 Annual Report. Paragraph 88

⁹⁶ Country Program Summaries presented to the Board are available on UNFPA's website.

⁹⁷ The MI "Shares lessons at all levels of the organisation" was not assessed by the document review for this year's report.

MI: Reports on lessons learned based on performance information

Survey respondents rated UNFPA as adequate for identifying and disseminating lessons learned from performance information. The document review rated it as weak for reporting on lessons learned based on performance information.

UNFPA demonstrates a commitment to the principle of disseminating lessons learned, as can be seen through its Evaluation Policy, which states that the “UNFPA seeks empirical evidence on the results achieved, using lessons learned to improve program effectiveness” and through its effort to include a section on lessons learned in its Annual Report.

The document review rated UNFPA as weak on this MI due to the fact that the lessons learned presented in the Annual Report are not lessons learned based on performance information, but rather challenges faced during implementation. Furthermore, as noted in finding 17 on Performance Monitoring and Evaluation, the organisation is having difficulty collecting evaluations from across the organisation. As the 2010 Biennial Report on Evaluation states, “The UNFPA must develop systems to track and verify evaluation activities. This is a necessary step to provide assurance and ensure that lessons learned are disseminated as widely as possible.”⁹⁸

MI: Shares lessons at all levels of the organisation

Only donors at headquarters were asked to assess this MI, which they rated as adequate. However, 41 percent of respondents answered ‘don’t know’. The document review did not assess this MI.

⁹⁸ 2010 Biennial Report on Evaluation (paragraph 34)

3.4 Respondents' Views on UNFPA's Strengths and Areas for Improvement

Prior to rating UNFPA on the series of MOPAN Common Approach micro-indicators, all survey respondents were asked two open-ended questions. The questions asked respondents to identify the greatest strengths and areas of improvement in the way that the UNFPA operates. Out of 238 respondents, 214 provided comments on strengths and 194 on areas for improvement.

Respondents indicate that UNFPA's greatest strengths include the relevance of its mandate and how it implements that mandate; the quality of its staff; and its strong collaborative relationships with governments and civil society in the countries where it operates.

When asked about UNFPA's greatest strength, about one-third of all of the respondents commented on the importance and relevance of its mandate and approach. Their responses underscored not only the clarity and value of the mandate, but also the organisation's focus on limited areas of intervention. They also recognised UNFPA for taking an integrated, culturally sensitive, and rights-based approach to working on the issues of reproductive health and rights and population development. In addition, direct partners in particular, noted UNFPA's participatory approach in the planning and design of programs with stakeholders.

More than 20 percent of respondents praised UNFPA staff for their dedication, motivation, and technical expertise. The characteristics of its teams are also noted in relation to another strength noted with some frequency: its capacity to build networks and work collaboratively with partners (government and civil society) as an advocate for improved sexual and reproductive health outcomes.

"It is well skilled to implement its sensitive mandate, i.e. it has expertised and committed staff that is also capable to negotiate with opposite parties and find ways to move forward. In addition UNFPA is very transparent and cooperative, which from a donor perspective makes UNFPA a 'trustworthy' party."
(Donor at HQ)

"Their technical personnel is, in general, highly qualified and committed. This has earned them the recognition and respect of donors and national partners." (Donor at country level)

"UNFPA always involves its implementing partners (related ministries, government bodies, and NGOs) in the process of making its guide book for every country program. Therefore, UNFPA is best in building network."
(Direct Partner)

Respondents offered different point of views on the areas in which UNFPA could improve the way it operates. MOPAN members in-country and direct partners noted issues related to harmonisation and administrative procedures. Donors at headquarters cited potential improvements in results-based management, especially as reflected in the organisation's reporting.

At the country level, MOPAN members were more likely to cite issues related to harmonisation. They noted that the UNFPA can do better in coordinating with other UN agencies and with bilateral donor countries. Direct partners tended to focus on the issues of financial management and efficiency of procedures. They commented on challenges related to the timely disbursement of funds, complexity of financial forms, and inflexibility of procedures. Of note, however, is that 22 percent of direct partners and 16 percent of donors in country offices did not provide any comment regarding areas where UNFPA could improve.⁹⁹

MOPAN members at headquarters focused on improvements that could be made in results-based management, evaluation, and especially on results reporting. With regard to reporting, they express the desire to see more evidence of progress towards outcomes. A smaller number also noted the need to continue to strengthen the organisation's capacity at the field level.

"UNFPA needs to improve its ability to report on results in a way that focuses on impacts and demonstrates the effectiveness of its interventions. Results are currently too output-focused and are not systematically fed back into planning and design of new programs". (Donor at HQ)

"Coordination within the UN system and with other donors and better using its leveraging capability with national authorities." (Donor at country level)

"Timely release of funds to facilitate effective and efficient implementation of activities in Annual workplans." (Direct Partner)

⁹⁹ They provided responses such as: 'don't know', 'none', 'not aware', etc

4. Conclusion

UNFPA received scores of adequate or strong on all 19 key performance indicators (KPI) assessed by survey respondents, based on the mean scores of all respondents. The review of documents provided a wider mix of results, ranging from very strong to weak.

Survey respondents were very positive in their assessment of UNFPA. Direct partners and donors at headquarters were consistently more positive in their responses, giving more ratings of strong and very strong than donors in-country. However, the number of 'don't know' responses suggests that donors in-country may be less informed than donors at headquarters about the areas explored through the MOPAN indicators.

Of the 13 KPIs assessed through the document review, eight were rated as adequate or better and five were rated as inadequate or lower.

The findings of the Common Approach 2010 suggest that UNFPA has several key organisational systems and practices in place that favour its organisational effectiveness, namely:

- UNFPA's clear and important mandate was considered to be one of its greatest strengths, according to ratings from survey respondents and the review of documents.
- UNFPA's focus on results through its Country Programme Documents (CPD) was also rated as strong. Survey respondents and the review of documents provided ratings of strong or better for the framing of results that are consistent with national strategies and the identification of thematic priorities in the CPD.
- UNFPA was rated as strong by respondents and the review of documents for its mainstreaming of gender equality, human rights-based approaches, and HIV/AIDS.
- In the area of financial accountability, UNFPA had notably strong ratings on indicators related to internal and financial audit. In risk management (the only financial area with weaker ratings), UNFPA is engaged in the development of an Enterprise Risk Management system in 2010, which is expected to strengthen its performance in this area.
- UNFPA also received strong ratings from both survey respondents and the document review for aspects related to its delegation of decision making. This suggests that an adequate framework is in place for delegation of decision making and that respondents at the country level perceive that country offices have the authority to manage project tasks and take certain decisions about areas of cooperation.
- Survey respondents considered UNFPA to be strong in its contributions to policy dialogue and its support to national plans.
- Survey respondents gave an overall assessment of strong on three indicators of harmonisation: participation in joint missions, technical cooperation through coordinated programs, and support for government-led PBAs.

The Common Approach findings also signalled some potential areas for improvement, in areas where UNFPA received ratings of less than adequate.

- The document review noted limitations in UNFPA's results frameworks, such as the definition of outputs and outcomes and the lack of clarity in the results chain, and the effects of these limitations on its reporting on results.
- Among survey respondents, in-country donors rated UNFPA as inadequate in adjusting procedures. In addition, in responses to open-ended questions about areas for improvement, respondents at the country level noted challenges related to the timely disbursement of funds, complexity of financial forms, and inflexibility of procedures.
- Donors in-country provided ratings of inadequate for UNFPA's use of partner countries' financial (audit, procurement, and financial reporting) and non-financial systems. However, they also had a high level of 'don't know' responses. The ratings are somewhat surprising given that UNFPA uses national execution (NEX) audits at the country-level, where implementing partners manage the auditing process. In addition, they gave low ratings to UNFPA for avoiding the use of parallel project implementation units.
- The findings suggest that some attention should be paid to the use of performance information in reporting to the Executive Board and in supporting decision making. UNFPA has already begun to address this gap in its decision to conduct evaluations of country programs in the second to last year of the programming cycle, so that they can inform planning of subsequent country programs. Country level programming documents could also make more consistent use of targets to help measure progress in implementation.
- A final area for consideration is evaluation and learning. The assessment noted some challenges with evaluation coverage and evaluation quality in the organisation. However, the UNFPA evaluation policy was approved in 2009 and it remains to be seen how resources will be allocated to help strengthen both the centralised and decentralised dimensions of evaluation. A broader sharing of evaluations – and continuing to populate the evaluations data base – could support the sharing and dissemination of lessons learned.

Most of the low ratings that stemmed from the review of documents were in areas that UNFPA management has recognised and already begun to address, and in which it will likely make further improvements as a result of the mid-term review of its 2008-2013 Strategic Plan.